

X
Outline of
Experimental Course In Administrative Management Training,
United States Department of Agriculture,
Washington, D. C.
July 10 - 14, 1950 X

Compiled and Edited by:
T. D. Fontaine
Bureau of Agricultural and Industrial Chemistry
Agricultural Research Center
Beltsville, Maryland

Preface

The topics discussed in this "Experimental Course In Administrative Management Training" were selected by the members. This course was unique in that the members were also the lecturers. The material contained in the outlines represents the best that could be found through research on the subjects, however, some new ideas are presented.

A very interesting article entitled "What Makes Successful and Unsuccessful Executives?" has been abstracted, outlined and included in this report.

CONTENTS

Objectives Of Administrative Training Course.....	3
Policy Making. By C. M. Cornelius, FHA.....	4
Organization Principles and Delegation Of Authority. By M. M. Kirkham, BAE.....	6
Program And Work Planning. By H. E. Howard, FS & J. L. Buckler, FCIC	11
Budgeting As A Tool Of Management. By G. Z. Anders, REA.....	16
Program Execution. By C. P. Mead, BAI.....	30
Motivation, Stimulation Of Employees, Getting Things Done. By C. E. Wylie, PMA.....	36
Development of Assistants, Training. By T. D. Fontaine, BAIC.....	40
Controls, Inspections, Reviews and Reporting. By J. E. Gates, SCS and G. Z. Anders, REA.....	43
Work Measurement And Work Standards. By H. C. Starns, OP.....	46
Personal Characteristics And Equations In Administration. By C. E. Wylie, PMA and M. M. Taylor, PMA.....	50
Graphic Presentation Of Ideas. By J. L. Buckler, FCIC.....	53
How To Sell Your Ideas! By M. M. Kirkham, BAE and H. C. Starns, OP.....	55
Communications. By M. M. Taylor, PMA.....	61
Chain Of Command. Line And Staff Relationships. By W. F. Leffler, BE&PQ.....	62
The Administrator's Responsibility For Public Service. By T. D. Fontaine, BAIC and W. F. Leffler, BE&PQ.....	65

What Makes Successful And Unsuccessful Executives? By B. B. Gardner (Abstracted for inclusion in this report).....	68

OBJECTIVES OF ADMINISTRATIVE TRAINING COURSE

What Government expects to get from the course:

1. Trained young people who will be considered for higher supervisory and administrative positions.
2. Improved performance by trainees already in responsible positions.
3. Development of a body of administrative information that will have general use in the Department.
4. Nucleus from which better training in Administrative Management will spread throughout the Department.

What a selected trainee may expect from course:

1. Opportunity to work side by side with other selected individuals on problems of agricultural administration.
2. An opportunity to collect and present problems of administration from his own agency for cooperative solution.
3. To receive guided instruction on management principles.
4. Opportunity to review and discuss some of the best publications in the field of administrative management.

POLICY MAKING
by
C. M. Cornelius, FHA

Definition:

Policy is an approved course or guide for administrative action.

Purpose:

Policy is the foundation for orders, rules, or instructions and governs situations for which there are no existing regulations. The purpose for any policy is to insure a uniform and consistent course of action.

Who is responsible for making policy?

The boss - the top executive or administrator.
Sometimes legislation provides for an advisory committee or committees to assist in developing policies.
High levels of administration usually are concerned with over-all policy.
The Board of Directors. The President of a company and his major executives. The General Manager and Department Chiefs.

How is policy developed?

No one man develops policy.
By consultation up and down the line.
From the experiences of executives, supervisors and workers.
By developing a tentative policy and trying it out.
Hit and miss.
By continual review in order to adjust to changing conditions and needs.
By the decision or action of one in authority when dealing with current work situations.

What are the different ways policy can be expressed?

Formally - Executive Orders, Department Regulations, Company Manuals, Public Pronouncements.
Informally - Almost any statement by the "boss" is policy--telephone call, letter, speech.

How is the proper interpretation of policy attained?

Policy statements must be clear and understandable.
Policy (its objective and purposes) must be explained and thoroughly discussed with each lower level of administration.
Perhaps the best way to obtain proper interpretation of policy is to get employee or public participation in the formulation of the policy when such is feasible.

What are some of the earmarks of good policy?

Clear, concise and complete without being wordy.
Based on sound principles.
Fully recognizes problem and facts of situation.
Current and up-to-date.
Realistic and workable.
Developed cooperatively.
Announced in advance - carefully explained and discussed.
Written.

How are weaknesses in policy detected and corrected?

By observing and evaluating results.
Weakness is often evidenced by confusion, misunderstanding and inefficiency.
By good communication and good relations throughout the whole organization.
By continual review.

How do operational decisions change policy?

Operational decisions are chiefly policy expressed in action. When consistent with recognized policy they interpret or apply policy in a concrete way. When inconsistent with the stated or accepted policy, operational decisions, in effect, establish new policy.

Sources of Information:

Friedrich and Mason - "Public Policy" - Harvard Graduate School
Paul H. Appleby - "Policy and Administration" - Syracuse University
Catheryn Seckler Hudson - "Processes of Organization and Management" - American University
Warner W. Stockberger - "Personnel Administration Development in The United States Department of Agriculture."
Paul Pigers - "Effective Communication In Industry" - Massachusetts Institute of Technology
Chester I. Barnard - "The Functions of the Executive" - President of New Jersey Bell Telephone Company
James D. Mooney - "The Principles of Organization"
Glover and Maze - "Managerial Control" - New York University
Ross Young - "Personnel Manual for Executives"
Department of Agriculture - Administrative Management Course Workbook

Organization Principles and Delegation of Authority

by

Mark M. Kirkham, BAE

1. The major purpose of the organization must be clearly understood.

This purpose must be accepted by everyone in the organization. This purpose will embrace the mission of the organization. It will lead to an expression of the functions necessary to carry out the mission.

2. The organization must be as simple as possible.

Sir Henry Deterding, head of the world-wide Royal Dutch Shell says: "There is a master key to success with which no man can fail. Its name is simplicity; simplicity I mean in the sense of reducing to the simplest possible terms every problem that besets us. Almost every man can succeed if only he will simplify everything in his life. -- everything that is complicated is wrong. Simplicity rules everything worthwhile." The organization must not be broken down into many small units. Each unit must justify itself.

3. The organization must be able to meet new conditions.

It must be flexible not static. It must be capable of being welded into a team to tackle new, unforeseen problems. The personnel should not become so identified with their department that they lose sight of the overall objectives. These objectives come first. The organization is a means to an end, not an end in itself. The organization must have the ability to grow or contract without fundamental or radical change.

4. Every necessary function must be clearly assigned to a single unit of the organization.

This will assure that every job is done. It will prevent duplication of effort and overlapping responsibility which causes confusion, friction and delay. The responsibilities must be clear-cut and well-understood. This will promote simple routines and direct effective action.

5. The number of levels of authority must be kept at a minimum.

Layering causes delays, dissipation of authority and loss of personal contact. The effectiveness of the organization suffers. The worker feels ineffective, far from recognition.

6. Related activities must be coordinated.

There must be a conscious effort to tie together related activities. Procedure and practice must be established. Thus the organization will be unified. The efforts of all will be directed toward the end product. The purpose will be realized. This will also permit the establishment of centralized service activities. These activities save many housekeeping dollars.

7. Staff units must perform staff functions.

Staffs advise and suggest. They do not command, order or direct. They assist the head of the organization. He may take action on their suggestion. This becomes his action, not the staff's. In this way the staffs share in the responsibility of overall planning, coordination and review.

8. The number of people reporting to a supervisor or executive must be limited.

The number reporting should vary depending on the type of work, the supervisor's job and his capabilities. Usually 5 to 10 is considered a maximum number for executive work. In routine, production type work this might be increased to 20 or more. This point is sometimes referred to as "span of control". This protects supervisory effectiveness. It permits the full development of the worker.

9. Organization personnel must be selected and matched to their jobs on the basis of interests, abilities and knowledge.

This means square and round pegs in the proper holes. Aptitude testing is now an established way of finding "round" and "square" people. They can then be assigned to the "round" or "square" jobs. This does not preclude the development of generalists, those persons with a broad point of view and wide experience. It does not preclude the development of specialists, those people with highly developed, narrow skills. The personality of a person should be considered. Introverts don't make good salesmen. It is very costly for highly specialized people to perform routine tasks. Unused abilities are dollars down the drain. Giving a man a job over his head is also costly. That's like trying to cut an acre of grass with scissors. The man and his capabilities must fit the job.

10. Responsibilities and authorities of organization personnel must be written and clearly understood.

Some organizations have an organizational manual. This manual contains organization charts and clear, definite, detailed statements on responsibility and authority. These charts and statements prevent misunderstanding, friction, frustration, overlap and duplication. These manuals might be looseleaf to be easy to keep up-to-date. In any event they must be kept up to date. This keeps faith in the organization. It is recognized proof of continual natural change. The manual should be available to everyone in the organization.

11. Each person must know who he reports to and who reports to him.

Everyone must know where he stands in the picture. There must be a definite line of authority that is clearly understood. This will permit placing responsibility with the assurance that it will be carried out. It will prevent misunderstanding and consequent lost motion.

12. Responsibility must be matched by authority.

Unless action is taken to assign authority along with responsibility executives might turn into glorified messengers. They might run back and forth to make certain that their proposals meet with approval. This is a splendid way to develop ineffective executives. Don't give a man a job unless you give him the necessary tools too. Consider authority and responsibility as a team.

13. Executives must respect lines of authority when dealing with subordinates.

Executives have a penchant for by-passing supervisors. They like to deal with people direct. They like to get quick action. This, of course, breaks down the line of authority. By the same token junior personnel should not be required to evaluate or criticize senior personnel. Everything that influences the junior employee, such as promotions, wage changes, and disciplinary action must be approved by his immediate superior. To keep the supervisors morale high, respect him.

14. Each person in the organization must have one boss and only one boss.

When this principle is not applied confusion and frustration result. No man can serve two masters.

15. Communication within the organization must be good --up, down and sideways.

Traditionally communication is down. It is usually in the form of orders. Recently the idea of communications going up -- to the boss -- has been introduced. Strangely enough people at lower levels have good ideas and legitimate beefs. Hearing them out is sometimes like putting money in the bank. The man close to the problem usually knows quite a bit about it. Horizontal or "sideways" communication merely means that you might talk over your problems with your neighbor. This is one way of getting good coordination between departments. Communication can be realized through any thought transferring media whether it be by sight or sound or a combination of them. Communication develops understanding.

16. Uniform methods and procedures must be installed where possible.

Constant effort should be expended to find "a better way" to do a task. Resulting standardization will make a more efficient organization. Various factors such as training and experience of personnel, climate, nature of the work, work volume and particular features of the program must be carefully considered. Procedures should never be considered final. A new machine or a new idea may change them at anytime.

17. Control must be exercised through attention to exceptional rather than routine problems.

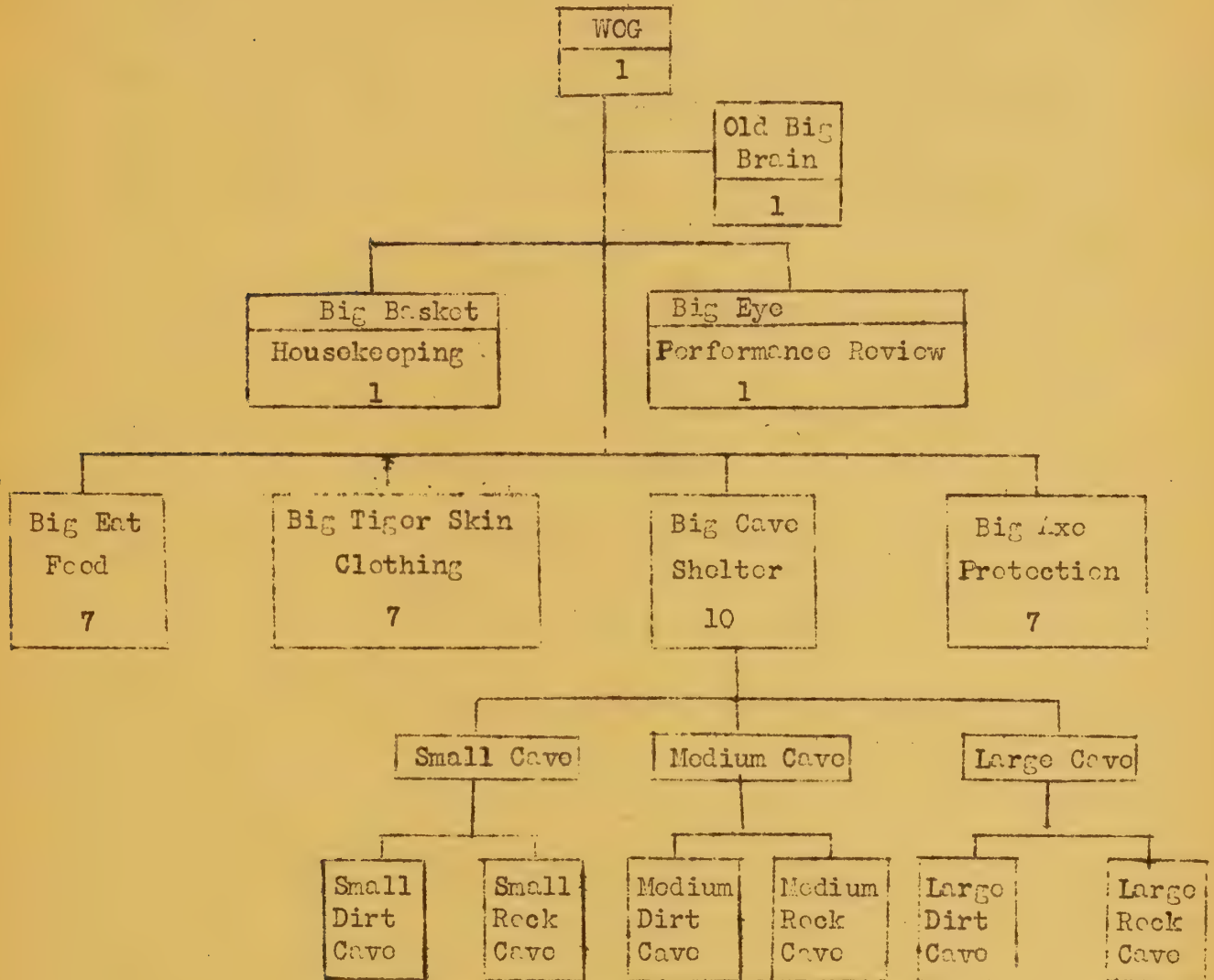
This is commonly called "management by exception". It is expressed in the idea, "take care of the big things and the little things will take care of themselves". It is realistic in that the executive is too valuable to fritter away his time on small details. Hire a "fritterer" for this. Too many supervisors require that every routine action flow across their desk. They bury their head in detail and become so used to the minor aspects of the work that the big problems stagger them and they cry for help. Another way of saying this is "don't catch the pennies as the dollars roll by". Develop your supervisors by making sure they get their share of big problems to solve.

18. A system of performance review and improvement must be built into the organization..

This system will enable you to know how you are doing. Checks should be made for work quality as well as quantity. If fair standards of output are established the employees will try and better these standards. Performance might be reviewed by reports, inspections, cost analyses and management audits. Make sure that each report serves a current purpose. Sometimes the purpose leaves but the report stays. This is one way of spending your money for nothing.

1. Brown, Alvin, Organization -- A Formulation of Principle, Hibbert Printing Company, New York (1945).
2. Smith, Edgar T., Organization and Operating Principles, American Management Association, New York (1930).
3. Bulick, Luther, and Urwick, Lyndell, Editors, Papers on the Science of Administration, Institute of Public Administration, Columbia.
4. Mooney, James, D., The Principles of Organization, Harper and Brothers, New York (1947).
5. Seckler - Hudson, Catheryn, Processes of Organization and Management, The American University Press (1946).
6. U. S. Bureau of the Budget, Mutable Principles of Organization, Organization and Methods Conference, U. S. Department of Agriculture.

MISSION: TO SURVIVE



Program and Work Planning

by

H. E. Howard, FS
J. L. Buckler, FCIC

The efficient performance of any task depends upon a precise understanding of what that task is.

The first factor of successful management is a precise understanding of the job to be done.

Planning is not an end but a means for better use of what we have. Planning is preparation for administrative action.

The planning responsibility in the management of administrative activities is twofold. First, to clarify or recommend changes in policy decisions. Second, to carry out these policies currently in effect.

We want to limit our discussions to the second responsibility of work planning.

What do we mean by work planning?

Work planning or programming is concerned with preparing the step by step program to achieve a predetermined objective with the minimum of waste (materials, time or effort), and with the maximum of effectiveness.

A program is a plan of administrative action designed to accomplish specified objectives within a given period of time.

Government planning arises out of the desire for social action through government which our political procedures produce. Plans translate party and legislative policy decisions into specific objectives and concrete programs of action.

You can see how the national agricultural policies have their effect on the work of the Department. For examples:

What is to be the general policy on agricultural prices in relation to world prices?

Shall agricultural income be obtained through production controls or through compensatory payments?

Plans are to translate policy decisions into specific objectives and concrete programs of action.

DETERMINE THE OBJECTIVES*

Policies and production objectives or "administrative goals":

Speed

1. in cycle time - from start to finish of one job.
2. of production - deadline for completion of program.

Economy

1. in unit cost
2. of scarce skills
3. of manpower
4. of materials

Quality

1. Excellence
2. Accuracy - error tolerance
3. Consistency
4. Public convenience

* Objectives are statements of need or purpose.

MEASURE THE EXISTING SITUATION

1. View related operations as parts of a whole even though they are performed in separate organizational units.
2. Analyze the operating situation in terms of work and product elements.
3. Identify the things worked on in several operations.
4. Identify the individual processing actions or work steps within the different operations.
5. Collect various types of data to help evaluate policies, determine objectives and design programs. - Research.
6. Limitations -
 Appropriations
 Organization rigidity - frequently perpetuated by
 appropriation structure

Find, Filter, Figure, Free and Follow the Facts.

DESIGN A PROGRAM

Requires a high order of analytical ability, imagination and courage.

Consider -

Worker
Workload
Work place - geography
Supervisory factors
Clientele factors

Procedure, organization and controls should be tailored to fit the work elements.

Planning should cut across organizational lines and let the logically divided flow of work determine organization structure at operating levels rather than letting a preconceived organization structure govern the division and flow of work.

Develop the best methods for the workers to use in performing the tasks assigned.

Test plan with the questions -

why	where
what	who
when	how

As I mentioned previously, plans should cut across organizational lines. A good job cannot be turned out if the machine is defective. The machine, in our case, is the organization.

Some of our administrative machinery is admirably adapted for the performance of yesterday's program. Why? Because in developing new programs, we changed the objectives and work steps. We changed the what and how and maybe the when, but we didn't change the who and the where.

Let me tell you about a case in point.

I don't mean to imply that reorganization is always necessary, or for that matter, that complete plans should be made before action is taken.

Most of us already have an organization which needs direction, coordination, and control. It's costing money - about the same - whether it is producing or not.

We can't stop direction coordination and control to wait for complete plans so we visualize - maybe improvise and keep the outfit guided toward the goal.

Programs and procedures must be developed and constantly revalued in terms of administrative experience - with few exceptions, this experience is taking place in the field - at the operating level. When you separate the planning level from the operating level, you create problems of program execution and communications which Mr. Mead and Mr. Taylor are going to discuss with us.

But let's take a few minutes now and talk about some of the problems confronting the planner.

No entirely satisfactory solution to the problem of organizing the planning function in relation to other management functions has been found in any Department. There will continue to be much experimentation.

Tending to institutionalize planning within departments and bureaus.

Operating agencies are usually much concerned about preserving their accustomed methods of doing business or about avoiding anticipated troubles. Over a long period of time, any operating agency is likely to develop a point of view which impairs its ability to project a different course of action under changed circumstances.

Counteract by central review and criticism of plans.

Common practice to establish new agencies when new programs are to be developed. REA is an example. Had to develop their plans of operation after they were established.

Congress established the why, what and when, but the new agency had to develop the who, where and how after they started operations.

Just a few words about how budgeting relates to planning. I don't want to steal any of Andy's thunder this afternoon, but there are some definite relationships that cannot be ignored.

Budget is the process of translating operating programs into fiscal terms. Planning officers and budget officers must work closely together. Planners should be able to tell budget officers what is to be accomplished and budget officers should frame the fiscal needs accordingly.

More and more emphasis has been placed on budgeting in government, with the result that unless planners can bring their influence to bear during the period of the preparation of the annual budget, they are likely to be impotent.

Budgeting is more widely appreciated among legislatures than planning. Legislative intent is frequently expressed through appropriations. Organizational rigidities are frequently perpetuated by the appropriation structure.

Legislative delay, compromise or inaction can disrupt the best laid administrative plans.

There are many other problems confronting planners. Some of them, such as change in administrators, have already been mentioned here. Plans must frequently be sold. The selling may be the most perplexing issue the planner faces. The approving authority must be convinced that the course of action is desirable and feasible. His first hurdle is always his boss. If plans aren't sold, they must be modified to fit the decisions of the approving authority.

The process of planning is completed only when all specific courses of action have been laid out and approved by the responsible administrator.

SUMMARY

Planning is preparation for administrative action.

Planning cannot be effective if separated from management.

Plans translate policy decisions into specific objectives and concrete programs of action.

Plans are checked with the questions -

why	where
what	who
when	how

"Management is planning in action."

Budgeting As A Tool of Management

by

George Z. Anders, REA

Origin and Development of the Budget

Alexander Hamilton declared in No. 30 of the Federalist that "Money is, with propriety, considered as the vital principle of the body politic; as that which sustains its life and motion and enables it to perform its most essential functions". This is a forceful way of saying that modern government must have a regular and adequate supply of money or the equivalent of money, for its continued operation and maintenance. Otherwise, as Hamilton expressed it "Government must sink into fatal atrophy, and in a short course of time, perish". In contemplating this indispensable requirement of every government, two important questions may be raised, the second being a corollary of the first. How much money is necessary for a given government? By what process is this money received and applied to the work of that government?

Broadly speaking, the amount of money required for the support of a particular government depends upon the nature of the society in which that government operates, upon the character of the political system which impels it, and upon the types of functions which it assumes, given, of course, the geographical setting and the human and natural resources without which no polity can exist. The demands made upon a government for services, which are a measure of its monetary requirements, are in direct relation to the social and economic development of the people living under the government; indeed, these demands may be said to increase in proportion to the general advancement attained by that people in the use of the technical arts and sciences. Obviously, a government with a backward population does not have the same need for money to carry on its activities as one with a well-developed social and economic order. Again, the monetary requirements of a government are very materially affected by the political system under which it works, especially by the social and economic aims of that system. For example, a government that holds to the traditional policy of limiting its activities mainly to police regulations and law enforcement will require far less money than a government which extends its sphere to include the promotions of social and economic life. This consideration likewise indicates the direct bearing between the nature and extent of governmental functions and the money needed for their support. Finally, the area, climate, physical features, and natural resources of the country over which a government has jurisdiction tend to set limits on the political wealth which may be drawn upon for the support of public services, although they are largely secondary considerations in determining the monetary requirements of that government. The ability of the people living within the state to utilize these things is of primary importance. Natural resources, for example, amount to nothing

apart from the ingenuity of the people and the economic means by which they are exploited.

The process by which money, in whatever amount required, is received and applied to the support of government varies widely from country to country. But in every instance this process is conditioned by human circumstances, in which political ideas, governmental structures, economic conditions, and social policies are the main considerations. In a democracy the monetary requirements of the government are not regarded in the same light nor met in the same way as in an autocracy, mainly because the political thinking of the one assumes a point of view which is quite different from that of the other. Thus a parliamentary government usually raises and spends the money required for its support according to certain rules and regulations which do not entirely fit the pattern and methods of a government controlled and managed by a dictator. Not only is the financial procedure of a government greatly affected by its political philosophy and general structure, but the standards and conditions of its economic life also exert a modifying influence. Likewise, the economic and social policies which a government attempts to carry out tend to fashion its methods of raising and spending money. A government which fosters individualism, for example, does not pursue the same methods as one that has collectivism as its goal.

Amid all of these variations in the methods of financing governments in different parts of the world and under different forms of political organizations, there are still some uniform elements. One of these is a more or less comprehensive plan of the monetary requirements of a government, embracing both income and outgo. Another is a procedure, widely varying in method, by which this plan is formulated, authorized, executed, and controlled. A third is the existence of some governmental authority which assumes responsibility for the plan in each of its successive stages. These three elements are, of course, modified in nearly every conceivable manner by historic environment, political ideas, governmental patterns, and the exigencies of human existence. But the fact remains that all modern governments do plan their monetary requirements to some degree at least, and that this planning is done through their regular constituted authorities. To this process of financial planning has been applied the term "budget", a word that has been used in this sense for about two centuries.

This introductory statement brings us to the task which I have undertaken to present, that is a consideration of Budgeting as a Tool of Management, including its more important implications viewed from the standpoint of theory and practice. Although this is an involved subject with wide ramifications, I shall attempt to reduce it to simple terms.

Responsibility of Budget Administration

In government we are spending other people's money. That factor makes it necessary for us to be even more prudent, more scrupulous,

and more economical in governmental expenditures than we would be if we were spending our own funds. Why? From an ethical point of view, because we are acting as trustees for the property of others. We have an obligation to the taxpayers which cannot in good conscience be lightly discounted. Employees of private corporations who are spending the money of the stockholders and bond holders, rather than their own, have similar responsibilities, but there are vital differences between their responsibilities and those of governmental employees who are responsible for the expenditure of funds. Most important perhaps is the fact that investors in stocks and bonds invest voluntarily while most government funds are exacted from the public in the form of taxes. The individual taxpayers have little choice.

Secondly, the benefit received from investments in private enterprise is in proportion to the amount invested. In contrast, there is no necessary relationship between the amount of taxes paid and the services received from the government. Taxes are commonly levied on the basis of ability to pay, whereas the "return" - the services rendered by government - in many cases is on the basis of greatest need. Moreover, government itself provides certain safeguards for the investors in business corporations. In effect it enforces a minimum standard of morality upon the managers of the corporations in order to provide certain protection to the investors. The government cannot be less scrupulous in its own transactions involving the use of other people's money than it requires corporations to be. Skull-duggery in the use of governmental funds must be prevented, of course. But that, perhaps, is the easiest phase of the problem to master.

The prevention of waste and unwise though honest use of the money is much more difficult. In this aspect the problem in government seems greater than that faced in private industry. For there is no yardstick such as the amount of profits to indicate whether the public servant has done even a passably good job at passably low costs. The public servant is frequently obliged to operate without such a precise compass as profit and loss statement. Moreover, such guiding mechanisms as are available to him often given conflicting directions. He has some indications of the quality of service he is rendering in the form of complaints or cheers of the citizens affected by the service, although complaints against a regulatory program by a portion of the public may indicate that an effective job is being done. If he has imagination, initiative, and zeal - qualities that are most desirable in public servants - he has little difficulty in visualizing many ways in which the service of his agency to the public can be improved and extended. In addition he has accounting data to show how much his agency is spending to provide these services.

While controls over the total amount to be spent by the administrative agency is important, it is inadequate by itself to insure responsiveness to the will of the representative of the voters. Allowing an agency to spend a sum of money without specifying what it is to be used for would be like asking someone to buy \$100's worth of merchandise for you without indicating what you want him to buy. Congress, in a sense, serving

as purchasing agents for the American public, specifies the goods and services to be provided the public in return for the funds appropriated. The general statute expresses this concept, provides that funds shall be used for the object for which appropriated.

General Aspects of the Budget

Historically, the budget is vitally connected with the development of representative government. Indeed, it is one of the constitutional bulwarks of every government of this general type. Among the indispensable powers of the legislative body is the periodic voting of the budget. It insures that the legislators, the people's representatives, will assemble at regular intervals to examine and authorize the financial requirements of the government. By such procedure expression is given to the popular right to control the public purse.

What is the budget? When viewed in the light of present day usage and considering its historical background, the budget may be said to have three essential elements:

- (1). A financial plan.
- (2). A procedure for formulating, authorizing, executing, and controlling this plan.
- (3). Some governmental authority responsible for each successive stage in this procedure.

These elements, in combination, are usually called the "budget system", sometimes the "budgetary process" or simply "budgeting", while the financial plan itself is known as "the budget". Hence, the term "budget" has both a general and specific connotation that can be determined only by the context in which it is used.

The budget as a plan sets forth the monetary requirements of the government for a definite future period - usually a year and in so doing presents a balanced relationship between estimated expenditures and anticipated income. Some regard the budget merely as an accounting statement, overlooking the fact that it is primarily a plan directed to one end, namely, the financing of the government. While the budget may, and does, present information on the existing and past requirements of the government, that is not its main purpose.

The budget, as a procedure, involves certain definite and consecutive stages. For our purposes we shall call these stages as follows:

- (1). Formulation of the budget.
- (2). Authorization of the budget.
- (3). Execution of the budget.
- (4). Accountability for the budget as executed.

The first stage involves the various steps in preparing estimates and framing the financial plan; the second stage, the voting or legal

adoption of the plan; the third stage, the carrying out of the plan as authorized; and the fourth stage, the audit and review of the resulting financial operations..

Budgetary Control

The budget is an instrument used by management in planning its future activities. It is a means whereby management charts its course for any given period. It includes an estimate of the expenses that will be involved and takes cognizance of the requirements of the period.

Management that is able to look ahead and predict on the basis of available information a trend in activity is better able to prepare itself for one of two courses of action:

- (1). It can adjust itself to the acceptance of the developing trend (or)
- (2). It can seek means for cushioning the impact of trend on its activities.

These are factors of change that form the policies on which budgets are based. However, wise management views budgeting as a continuous activity that must function during period of "normal" production as well as in the abnormal. This introduces a second function in addition to planning monetary control. Budgets are yardsticks for the measurement of the efficiency of operations. They form the basis for comparing actual results and its accompanying costs with estimates taken from past experience. When the course has been charted and expressed through the medium of a budget, means must be found that will enable the agency to hold its course as planned, or if need be, to make orderly changes in its plans in terms of developing circumstances. This has been termed the "operation of the budget" or "budgetary control".

Purposes of Budgets

Stated briefly, the purposes of budgets are:

- (1). Planning: A systematic and unified plan of activities for designated periods of operation.
- (2). Control: A standard of measurement of results against which variations from previous plans become evident.
- (3). Coordination: Activities become a part of a plan for the enterprise as a whole. Democratic processes basic to the construction and operation of a budget tend to bring understanding and unification of agencies and personnel.

Planning Through the Budget

The construction of a budget forces the formation of policies on the part of management. Through the budget management is committing itself at least tentatively to a plan of action. This action requires decision regarding scope and sequence of future activity. It brings to the foreground such fundamental problems as quantity versus quality

of functions to be accomplished. Is the agency to place its emphasis on the accomplishment of functions of superior quality even at the sacrifice of volume, or is it to accomplish functions in large volume but of less quality and directed toward a specific demand? This problem of planning is forced to the foreground for decision through the necessity for construction of a plan of action.

Control Through the Budget

It should be understood that a budget is a means toward an end and is not an end within itself. Budgets are made to be used. They are tools of management. They are standards against which every executive and supervisor in the organization may measure the results attained. They establish goals to which each agency and each employee within the agency must contribute his designated share in terms of the unified plan. This leads toward precision and confidence. An agency head knows what is laid out for his agency to accomplish. He knows what is expected of him. He knows when he has done a good job or when and where he is falling behind. Thus much of the worry of uncertainty is eliminated.

Through the recording of the actual against the estimates of the budget, reports are constructed that reveal the points of difficulty and danger, the points which must be analyzed and improved upon. Management operating on the exceptional principle may pick up these points of variation and devote attention to them.

Coordination Through the Budget

Budgets should be constructive aids to all divisions within an organization in achieving their common goals. Unfortunately, however, this purpose is frequently misunderstood. The early emphasis given to budgets as controls of expenditures established in the minds of subordinates the attitude that budgets were negative controls only, devices to limit expenditures. This led to the "padding" of agency budgets, the idea for each agency to get as large an allotment for expenditures as possible. When all budgets were assembled and reductions were deemed essential, each agency felt that it was subject of discrimination. Thus, the budget became a "sore spot" and a factor of disintegration within the personnel of the organization.

This attitude toward budgets as negative controls may be compared to the attitude of a housewife or a son or daughter who looks upon the family budget merely as a means for dad to save his money. They may not realize that a budget can be a means toward achieving the desired ends of all concerned. The budget may include both the necessities of life and some of the luxuries as well. Perhaps dad (or management) may be somewhat at fault too in this misunderstanding. Perhaps he has not been fair in the past in the distribution. More frequently, however, he has failed to bring them in on the planning of the budget that

they might have a part in establishing the goals and selecting the means toward attaining them.

Without planning, an agency will operate with irregularity in volume and with resulting over-expansion and contrasting curtailment.

Budgets, properly constructed and operated, may have a constructive influence on the personnel of an organization. Budgets may serve as a means for bringing about a realization on the part of the personnel of the common goals of all who belong to the organization and all who serve it. In this capacity the budget serves as a coordinating influence - one that brings unity to the organization.

Requirements of a System of Budget Administration

To administer the enacted budget effectively, an administrator must establish a system which will enable him to direct the work and which also will provide a continuous and current review to assure that operations are proceeding in accordance with plans which may be stated as follows.

The budget system should receive the attention and active support of the Administrator. His respect for the system and his use of its products will influence its acceptance throughout the organization.

There should not only be complete understanding on the part of all the operating officials of the existence, aims, and purpose of the system, but also their acceptance and cooperation.

Throughout the organization there should be a sense of public trust, a feeling of duty to carry out the functions established by law with the greatest economy and efficiency possible.

There should be a qualified budget staff to assist the administrator in financial supervision. This staff should assist in establishing, operating, and improving the system; analyze and recommend action upon the information produced by it.

Operations should be planned in advance and scaled according to the amount of funds available. Advance planning provides a performance estimate and hence is a basis of delegation and supervision. Plans in quantitative terms supply a yardstick of intentions against which progress may be measured.

The system should be flexible enough to permit prompt change with- in the fiscal year not only for the normal shifts in program problems and resources, but for emergencies as well. Since it is difficult in many programs to plan accurately for a period as long as a year, there should be frequent review to disclose whether or not revision is necessary.

The advance scheduling of financial obligations within the year or other fiscal period is essential in order to meet the financial requirements of the program from month to month and to establish a rate of spending that will avoid a deficit.

Changes in work plans, schedules, and use of funds and other resources should be handled according to an established procedure so that all factors may be considered, and all officials concerned may participate and be notified of decisions.

Formal authorization to incur obligations should be given each official who will order the spending of money. Such authorizations are delegations of authority to spend in order to accomplish specific work, over certain periods of the fiscal year, at costs not to exceed stated amounts, and for less, if possible. This is usually done by a system of allotments which provide a financial control and relate money available to work to be done.

The accounting system should be designed to serve prescribed budgetary needs as well as accounting purposes by providing for the necessary financial controls. For example, the allotment accounts should have breakdowns corresponding to the pattern of allotment authorizations and any special legal restrictions such as fund limitations. Accounts can then serve as an automatic check upon the incurrence of excessive or unauthorized obligations in any area of the organization. The accounts should also be designed to yield directly the prescribed financial reports on the rate of income and outgo and the status of funds. The procedures for determining availability of funds and for recording the obligations and expenditures should function quickly so that agency operations will be promptly served and the financial conditions will be known at any time with reasonable accuracy.

Methods should be established to observe other restrictions or requirements than maximum amounts for expenditure and use of personnel, such as issues of legality, propriety and economy.

Frequent and regular reports are essential to check on work progress, objectives yet unaccomplished, status of funds, utilization of personnel, and other essential factors. Reports should follow predetermined standard outline designed to serve the purposes of supervision and direction.

There should be prompt, regular, and careful follow-up to see that deviations from predicted results are discovered and explained; that undesirable conditions are disclosed and called to the attention of responsible persons who can correct them; and that revisions of work plans and money allowances are made when necessary. A principal source of such information is properly designed reports. Unless the reports are regularly analyzed with the intention of follow-up action, their value is lost.

There should be an organized system of administrative audit and inspection to verify and supplement the reporting system. Such audits and inspections reveal facts for management action which can be ascertained in no other way.

Replanning and Rescheduling of Work in Budget Administration

Budget administration is the performance phase, which may be defined as, the management of a plan of activities, previously approved in the form of a budget, according to a schedule and at a cost within resources available.

The annual plans, therefore, which are prepared during the period of formulation are put into effect during administration of the budget. However, between the stages of preparation, adoption, and management of the plan, much revision inevitably takes place. It is this process of revision and adjustment with which the topic "replanning and re-scheduling of work" deals. Since the annual plan of work is but a segment of the long-range plans of the agency, an interim revision of program and work must be made with reference to the long-range plans to assure directions toward the ultimate goals and that as much as possible of the long-range plan is accomplished each year.

Long-range Plans

The term "long-range plans" is used here to denote the fundamental planning which identifies and defines the mission and specific objectives of an agency and formulates the broad policies governing their achievement. Long-range plans are essential to good management and serve the following purposes:

1. The basis for establishing the various programs, projects, and sub-projects - the entities of work which must be performed to achieve the mission.
2. The basis for establishing policies for governing operations.
3. The basis for determining the administrative system, the organizational relationships and scheme for operations by which the work will be directed, coordinated, and accomplished.
4. A guide for annual plans.
 - (a). In determination of what work is to be undertaken and when it will be completed.
 - (b). In the determination of what kinds of operations will be performed and what resources will be necessary to support the operations.

The decisions concerning programs and administrative goals are made in view of the conception of missions and objectives. The application of comprehensive and realistic long-range plans will facilitate the annual planning process and will result in minimum waste in effort, time, and resources, fewer day-to-day crises and less improvisation in administration, and will communicate a positive course of direction.

Preliminary Plans and Schedules for The Annual Program

For purposes of the budget, the annual plans for work programs must be designed many months in advance of the fiscal year for which they are to apply. The proposed plans pass through a number of stages before they become the actual guides for the conduct of work. Therefore, until the plans are adopted in whole or in part, by the enactment of appropriations, they may be said to be preliminary. Many months in advance of administration some programs may be planned only in form of rough estimates, while others may be planned with a high degree of accuracy.

Adequate annual plans for each area of work will contain forecasts of, and justification for:

1. The nature of work to be done.
2. The amount of work to be done.
3. The time for accomplishment schedule.
4. The resources needed.
5. The standards for production and quality.

As indicated above, the assignment of time phases for the accomplishment of work is an essential part of an adequate plan. This plan is termed scheduling and is the process of laying out the work or projects in orderly sequence with time allowances for the operations at different stages or for completion dates. It must be determined how much time a given work unit, job task, or assignment will require. Parts of multiple tasks or jobs must be timed in relation to the whole.

Final Plans and Schedules for the Annual Program

Prior to the beginning of the fiscal year, the preliminary annual plans and schedules must be adjusted into final plans and schedules. This adjustment is termed replanning and rescheduling of work. Similarly, during the year, periodic review of progress of the occurrence or obstacles will indicate necessity for replanning and rescheduling.

Reasons for replanning and rescheduling may be occasioned by the following considerations:

1. Prior to opening of the fiscal year:
 - (a). Congressional action may result in:
 - (1). Appropriations of different amount than that requested
 - (2). Disapproval or curtailment of some of the programs presented.
 - (b). The problem, demands, or costs may have changed in the interim period between formulation and enactment of the budget.
 - (c). The early planning may not have been sufficiently detailed for the administration phase.

2. During the fiscal year:

- (a). Progress of operations may occur at a different rate from that estimated in the schedule, and periodic review of progress measured against the plans for program and administration may point up needed changes.
- (b). An unbalanced condition of resources may occur, such as more personnel than facilities; or obstacles may be encountered in the availability of resources or in the use of resources.
- (c). Changes in cost upward or downward will affect the quantity of work which can be financed.
- (d). Emergencies or drastic changes in factors such as unemployment, strikes or international affairs, may modify or cause a shift in emphasis.
- (e). New legislation may require a complete re-examination of the whole plan since existing programs of the agency may be changed or new programs added. Additional workload often results which necessitates a request for supplemental funds.
- (f). Management improvements in operation such as procedures, equipment, or facilities may step up the rate of progress and necessitate revision of schedules.

Limiting Factors

Certain factors, which must be considered when replanning and rescheduling takes place, may limit or confine the extent of possible revision.

- 1. Legislative and Executive Direction.
 - (a). Appropriation provisions and limitations.
 - (b). Other statutory requirements and restrictions.
 - (c). Restraint as expressed in appropriation committee report.
 - (d). Policies, programs and directives of the president.
 - (e). Restraints laid down by the head of the agency.
- 2. Uncontrollable or unpredictable workload due to demand, usage, enforcement problems, emergencies.
- 3. Uncontrollable conditions of supply and cost of resources.
- 4. Amount of funds available dependent on demands for services or other factors.
- 5. Existing liabilities and commitments inherent in work already underway.
- 6. Degree of progress of programs already underway.
- 7. Inadequacy of information available on current status of work.
- 8. Inadequacy of system for replanning and rescheduling.
- 9. Too little time available for reconsideration before action must be taken.

Alterable Element of Plans

The following are the elements which may be altered when replanning and rescheduling is done likewise these are the elements which, if altered, require a change in the statement of plans or schedules.

In Programs

1. Parts may be eliminated, added, deferred, or substituted.
2. Quality of work modified.
3. Performance scheduled at a different rate than originally contemplated.

In Administration

1. Changes in Organizational Relationships.
 - (a). Shifts from centralization to decentralization, or vice versa.
 - (b). Reassignment of the administration of programs, i.e., combination or split-up of various programs.
2. Improvements in work methods procedures, and facilities to secure more efficient use of resources.
3. Revision of allotment of funds among programs, objects of expenditure, and organizational areas.
4. Redistribution of personnel, equipment, supplies, and facilities among programs or organizational areas.
5. Changes in method of financing, substitution of charges for services which were free previously.
6. Revision of standards for production and ability.

System for Replanning and Rescheduling.

Replanning and rescheduling are as important to sound operation in an agency as the initial planning and scheduling. The objective in this instance, as in the original process, is to see that the work contemplated is fully directed and related to the purposes of the agency's objectives.

... of your agency's system.

Budget management has been discussed so far in terms of responsibilities, requirements of a system, organization, processes and methods of control. I believe now is an appropriate time to pose some questions indicative of some of the facts management needs to control the work of the agency, to increase the productivity of its available manpower resources, and to keep program, work, and resources (men, money and material) in balance.

Does Management of Federal Agencies Know In Reference of Agency Programs

1. That the agency is achieving the public purposes for which it was established?

2. That the progress in achieving those purposes is in accord with the progress anticipated?
3. That the program of the agency is producing the effects desired?
4. That there is a continuing need for the Program?

Does Management Know in Reference to Agency Work

1. That the volume of work undertaken during an appropriation period is the volume needed to achieve agency purposes?
2. That the volume undertaken is being completed on schedule?
3. That the results produced by the various types of work undertaken are the results desired?
4. That the quality of work is up to par?

Does Management Know in Reference to Agency Resources

1. The extent to which its available manpower is being utilized?
2. That manpower and workload are balanced throughout the organization?
3. The extent to which available supplies, equipment and property are being utilized?

Summary

It is somewhat appalling that the development of systems of budgetary preparation and control in its broader meaning has been so slow, especially when one considers that the purposes of budgets are synonymous with management functions: planning, control and co-ordination. The majority of the agencies, even in the early forties, still thought of the term "budget", as applying only to the financial planning of the enterprise. This, of course, dates back to the original concept of budgets as handed down by governmental organizations. However, with the noticeable surge of interest in improved management techniques, stimulated by World War II further development and refinement of budgeting as a management technique appears hopeful.

There are two distinct but closely interrelated phases of budgeting, preparation and control. Three elements of method are of special significance.

1. If the purposes of budgeting are to be fully realized, procedures of preparation and control must be cooperative. This means that there must be participation by representatives of all departments or groups throughout the enterprise. Here we have a perfect example

of the values inherent in the principle of participation as a means toward cooperation.

2. Good budgeting procedure requires that demands shall be held flexible. Some degree of change is inevitable. That is the kind of world we live in, but the fact that the future is uncertain does not justify aimless wandering. Quite to the contrary, it increases the need for planning and requires that plans be constructed in a way to provide alternative lines of action. Various interpretations of the variable budget principle provides a means by which an agency replace and reschedule its work to meet changing conditions.

3. Adequate budget preparation and control require a system of records that will make available the various types of information pertinent to the subject with the least possible delay. The latter is particularly important in budgetary control. The shorter the time lag in the reporting of information, the more effective the control.

REFERENCES

- Budget Administration Conference Material - November-December, 1947
Budgetary Control by James O. McKinsey, A.M., LL.B.
The Budget in Government of Today by A. E. Buck
Budgeting: An Instrument of Planning and Management - Units I to VII
Prepared and Edited by Cathoryn Seekler-Hudson
Chairman, Dept. of Public Administration, The American University
Processes of Organization and Management - Edited by Cathoryn
Seekler-Hudson
Organization and Management by Ralph C. Davis
Factory Organization and Administration by Hugo Diemer

Program Execution

by

Charles P. Mead, B.A.I

I. This session has two objectives

- A. The use of a conference technique so as to develop or improve our skills in obtaining a consensus of group opinion.
- B. To obtain a consensus of group opinion concerning program execution.

II. In striving toward the first objective, we will attempt to adopt a pattern of a work conference in which the conferees are the participants and not the listeners.

In looking back to our general objective for this whole conference series, we will recall that we desire to develop a training plan which may be used to carry the concepts of administrative management to the field. If we are to reach this objective, it would seem that we should pay attention to the various assortment of training devices that have been developed. In this session, we will explore the possibilities of the work conference as a training tool.

True, we have been employing a conference technique here, but it would be interesting to vary the past approaches and to rely entirely on what is called a non-directive type of conference leadership. By non-directive, is meant that the leader only guides and possibly suggests, but the main ideas, concepts, and action principles of the subject matter under discussion will be provided by the group. The leader does not talk as an expert even though he might qualify as such, he refrains from deciding a question that has been raised and tries to get the group to decide it.

This conference group is actually an ideal one for the use of this non-directive conference leadership technique. All members of the conference have much common ground in the subject matter field of program execution. Each member of the group has something tangible and concrete to offer. It is this general and specific knowledge of the subject that is existant in the minds of the individuals that the conference desires to bring out, analyse, and summarize for the benefit of the whole group. However, this pool of knowledge can only be successfully exploited through the device of full-group participation.

This group is not unique in this respect. Any administrator's staff in the Department be it here in Washington or the field is more or less comparable. The conference group, however, should be composed of conferees of about the same level of experience and responsibility so as to prevent any inhibitions on the part of individual conferees.

The general conclusions of the group will be summarized on the record sheets and then reproduced in the form of a conference report which will be distributed before the end of the session. A copy of the lesson plan for the conduct of the session will be furnished to the group, together with references relative to the technique of non-directive conference leadership. (The points actually discussed have been omitted since they were duplicated in the anticipated discussion outline.)

III. Conference Plan

1. Group Objectives

To discuss and examine the problems of program execution and through the medium of group action to develop a check list for checking program execution.

2. Discussion Outline

Introduction:

A. This week the group has discussed important phases of administrative management. The functions of policy making, program and work planning, the principles of organization, the relationship between line and staff administrators, the use of the budget as a tool of management, the training and motivation of the personnel, the function of communications in keeping personnel informed, and the development of personnel positions for leadership have been thoroughly presented.

It might now be appropriate for the group to look at the execution of a program in the light of the various segments of administrative management that have been analyzed and discussed here. Such an exercise should provide us with the opportunity to apply certain principles and guides to some kind of plan for action.

B. The problem of program execution is really the zenith of all administrative problems. The public demands some type of service, representative government grants the charter and provides certain funds for the execution of the service, and spells out in broad terms the general objectives of the service program. The executive branch of government is then charged with the detailed planning for and the execution of the service. Here is where all members of the group fit into the picture. All of the agencies we represent are operating under a Congressional Charter authorizing and directing them to provide a/or many services to many divergent segments of the public. As employees or as administrators, we are all involved in the complex task of executing, both singly and simultaneously, programs designed to serve the public.

Fortunately, democratic government provides for the criticism of governmental processes. Not only must the agency which is charged with the execution of a program be prepared to answer the attacks of those who oppose it purely on political grounds, but it must be ready to justify program execution solely on the merits of good administration. Regardless of the basic cause of criticism, poor administration of a program provides the focal point of attack against it. Even though a

program may survive such an attack, there is little question but what less service has been rendered to the public per dollar of public expenditure.

What should be the policy in regard to making changes in program plans?

1. What are the facts that are to be considered in deciding upon a change in program plans?
 - a. Are the plans for obtaining the original objectives being effected in whole or in part?
 - b. Have the original objectives changed? If so, by law or by time?
 - c. Do the plans conflict with other program plans?
 - d. What is the source and importance of pressures being exerted against the program plan?
Are the actual expenditures consistent with the planned expenditures?
What is the timing of the plan?
Are certain phases of the program ahead or behind schedule?
How long has the original plan been in operation?
How often has it been reviewed?

Summary

Objectives	Law	Conflicts
Groups Benefited	Groups injured	Pressures
Expenditures	Timing	Lgo
Review	Relative costs vs Benefits	

2. Possible Actions that could be taken
 - a. Change original plan in whole or in part.
 - b. Abandon program.
 - c. No change in original plan.
3. Weigh possible action against objectives
 - a. Will new plan or revised plan still achieve service objective?
 - b. Is new plan covered by existing law or Presidential Policy?
 - c. Is new or revised plan feasible to carry out?
 - d. Possible results of delay in change.
4. Final action -- Statement of desired policy by group.

How can the accuracy of work assignments be checked and evaluated?

1. What are the facts to be considered?
 - a. Is there a basic job load analysis?
 - b. Is there a comprehensive work plan based on such an analysis?
 - c. Have position classifications been reviewed?

- d. Are there adequate work accomplishment records?
 - e. Do these work accomplishment records line up with planned work?
 - f. Have adequate cost/or job accounting records been maintained?
 - g. What is the status of job allotments?
2. Possible Action to be taken?
- a. Develop job analysis.
 - b. Develop work plans with established priorities.
 - c. Review classifications in light of assignments.
 - d. Establish adequate record keeping.
 - e. Readjust job allotments.
3. Weigh possible action against objectives
- a. Cost and time factors
 - b. Effect on immediate objectives versus effect on longer-range objectives.
4. Final action
- a. Condensed statement and summary by group.

How can "Bottlenecks" be discovered before they become serious?

1. What are some possible "bottlenecks"?
- a. Availability of manpower.
 - b. Availability of essential supplies.
 - c. Lack of trained supervision.
 - d. Breakdown in transportation.
 - e. Inadequate and slow communication between top management and action line.
 - f. Prohibiting or conflicting regulations.
 - g. Short-range technical plans lagging behind the work schedule.
 - h. Too highly centralized control over remote operations.
 - i. Interpretations of legality.
 - j. Securing of cooperative enabling acts or laws.
 - k. Budget delays.
 - l. Fiscal delays
 - m. Inefficient reporting.
2. Possible action
- a. Pre-job survey of available manpower and supplies.
 - b. Scheduling with a constant check of progress against schedule.
 - c. Transportation surveys and plans.
 - d. Step-up communication facilities or stream-line existing ones.
 - e. Improved controls - Inspections - Reports.

How can unfavorable public relations be detected in the incipient stages?

1. Examples of unfavorable public relations
 - a. Unfavorable editorials.
 - b. Unfavorable speeches, unfavorable comments, etc. by radio.
 - c. Strong pressure group reaction.
 - d. Letters from leaders of various groups.
 - e. Direct complaints to administrators.
2. Possible ways of detecting these unfavorable public relations at an early stage.
 - a. Distribution of responsibility for coverage of news media.
 - b. Clipping Service - I and E
 - c. Investigate unfavorable comments.
 - d. Maintenance of contacts with pressure groups.
3. What can be done.
 - a. Immediate investigation and correction.
 - b. Develop adequate pre-attack public relations program.
 - c. Increase information service to provide knowledge needed.
4. Weigh facts
 - a. Will actions interfere with objectives.

What are some of the best methods of making program adjustments?

1. What are the type and kind of adjustments that can be used?
 - a. Objectives
 - (1) new
 - (2) changed
 - (3) gradual
 - (4) sudden
 - b. Realignment of budget plan.
 - c. Realignment of time schedules for various phases of the program.
 - d. Redistribution of manpower.
 - e. Reorganization of program staff.
 - f. Speed-up payments - obtain interpretations.
 - g. Strengthen organization factors, such as:
 - (1) communications
 - (2) procedures, etc.
 - (3) controls
 - (4) inspections
 - (5) reports
2. Weigh the kind and type of adjustments used in connection with above facts.
3. Action versus objectives.
 - a. Is there a conflict here?
 - b. List objectives.
 - c. List possible actions that could be taken.
 - d. Weigh each possible action against objective.
4. Final action -- Statement of desired policy by group.

If a program "Bogs Down" what is the first step to take to get it going?

1. What are the facts concerning the "bog-down"?
 - a. Complaints
 - b. Unfavorable public relations.
 - c. Slow down in service.
 - d. "Bottlenecks" as described above.
 - e. Achieving different objectives approved and compare to the original objective.
2. Possible action
 - a. Ascertainment of the above facts.
 - b. Determination of the main contributing cause.
3. Action vs. objective
 - a. Is there a conflict here?
 - b. List objectives.
 - c. List possible actions that could be taken.
 - d. Weigh each possible action against objective.
4. Final action
 - a. Is it the best possible action.
 - b. Will it provide immediate relief.

What is the effect of realistic reporting in program execution?

1. What constitutes realistic reporting?
 - a. Is progress actually measured by accurate criteria?
 - b. Is reporting current and up-to-date?
 - c. Are reporting systems simple, yet effective?
 - d. Are reporting systems standardized?
 - (1) Do they inhibit accuracy? (2) Do they aid accuracy?
2. How does realistic reporting affect program execution?
 - a. Improve and maintain good communications.
 - b. Guaranties rapid action.
 - c. Improves coordination.
 - d. Provides for chocking on weak spots.

Motivation, Stimulation of Employees, Getting Things Done

by

C. E. Wylie, PMA

INTRODUCTION:

It is the human element that decides the success of any undertaking. Management succeeds only to the extent that it gives thought and planned effort to the proper selection, development and encouragement of those who do the work. - - - - It is impossible to handle people by a formula. Everyone is different and must be treated differently. - - - - Basic to all this is the democratic principle of the sanctity, dignity and right of the individual. We all want to be recognized, to truly have a part in decisions which affect us, and to be treated equally. There are no forces in nature more potent than a group of individuals who are inspired with a common purpose and are confident that they are fairly treated. (Message from Secretary of Agriculture Brannan to 4th Personnel Management Meeting in Peoria, 1949)

The function of management is to get things done.

The tools of management are people, things and money. (In Industry - 1948)

The problem of management is the proper utilization of its tools.

Money can be borrowed or appropriated; things can be improvised, changed or done without; we've got to use people pretty much like they are.

WHAT ARE EMPLOYEES?

Employees are people with:

Ambitions that can be stirred.

Nerves that can be shattered.

Pride that can be hurt.

Hopes that can be realized.

"Vision in Supervision", BAI - 1948.

They are the product of their environment

their training and education

their emotional experiences

their heredity

their glands

a host of influences, good and bad, strong and weak.

"Their personal feelings often affect their actions more than reason or logic. This holds true for all, from the top to the bottom."

"Production Engineering", by Professor
Earle Buckingham

WHAT IS MOTIVATION? (Some selected definitions)

- M.S.: "Motivation is the act or process of furnishing with an incentive or inducement to action."
- E.B.: "Motivation is what makes people work, or want to work."
- D.H.: "Motivation is an inducement to do something, or to cease or refrain from doing something."
- E.H.: "Motivation is the propelling or impelling influence toward action; especially, reasons or urges resulting from mental state or processes, or physical need, which induce, incite or stimulate action toward a goal, whether constructive or destructive. Such reasons or urges may be caused by desire, actual or imagined need, inherent or acquired belief, or pressures which, if ignored, would adversely affect one's personal desires or needs, or work against a cause or goal in which one believes."

"Daffynition":

"Motivation is what makes people do things."

Motivation is the moving-power behind all actions, all conduct. We do things because we have to, or because we want to. "Want to" is stronger and more enduring than "have to". It changes forms of life, society, and institutions. It "get things done".

WHAT ARE THE COMMON EMPLOYEE MOTIVATIONS?

Motivations are not exclusive, by definition. They appear in overlapping, inter-dependent, and even apparently conflicting, relationships. They reflect the great complexities of the human mind, and the almost cosmic bombardment of humans by their environment and each other. Some stand the rocks against the currents of life; others sway with every breeze. It is remarkable that more of us aren't crazy.

Research has demonstrated that motivations are obscure devious things. We still don't understand them well. We find deeper and very significant meanings whenever we dig below the surface of employees' superficial complaints, such as too little room, poor equipment, drafts, bad light. Dr. Alfred J. Marrow, who is president of a manufacturing company, as well as a professor of psychology, says management fails most in lacking know-how of the psychological principles that make for cooperative effort. (Business Week 5-20-50).

Scientific studies in recent years show that worker output is affected more by emotional than physical factors.

- I. EGO
 - Satisfaction of accomplishment
 - Personal Pride
 - Recognition of accomplishment
 - Social recognition and acceptance
 - Professional or vocational advancement
 - Excelling over others (Competition)
 - Esteem of associates
 - Wanting to "belong", "to be a part of"

Responsibility
Utilization of skills and abilities
Fear of failure or rejection

II. ECONOMIC

Living necessities
Security from want
Independence
Freedom from worry
Provide for family
Luxuries
Higher standard of living
Personal possessions
Savings and investment

III. EMOTIONAL

Love and affection
Patriotism
Loyalties
Honesty
Sympathy
Personal likes and dislikes
Resentment and frustrations

IV. PHYSIOLOGICAL

Mental and physical health
Abundant energy
Glandular
Animal attractions

V. RELIGIOUS, PSYCHIC

The virtues (faith, hope, charity), etc.

ARE SUPERVISORS MOTIVATED?

Certainly; not merely as employees, but as supervisors, and by employees. Just as a supervisor gets work done through employees, so do employees achieve their desires through supervisors. A good supervisory-employee relationship is one in which they motivate each other and achieve mutually desirable, or respectively desired, objectives. Supervisors are motivated by many of the "ego" type of motivations; the emotional; and indirectly by the "economic", with respect to their application by employees.

CAN THE PRINCIPLES OF MOTIVATION BE ESTABLISHED IN AN AGENCY

Yes. It is commonly asserted that management does not employ proper understanding of principles of psychology to its personnel problems. Any agency, through training of executives, supervisors and line employees, can install good systems and standards for their everyday, profitable use.

HOW ABOUT "NEGATIVE" MOTIVATIONS

These must include the repression, perversion, or most likely, neglect of "positive" motivations. Fears, aversions, frustrations, denials, are all opposites of good motivations. "Wanting to belong" is positive; rejection by the group or the supervisor is a negative motivation.

Development of Assistants, Training

by

T. D. Fontaine, BAIC

1. Training is one of management's tools for achieving fullest and most effective utilization of manpower.
2. What is training?
 - a. Training has been defined as a process of aiding employees to gain effectiveness in their present assignments or to prepare for future assignments through the development of appropriate work habits, skills, knowledge and attitudes.
 - b. More simply, training means aiding them to acquire the knowledge and skill necessary to do their work well and thus causing employees to become interested in their work.
3. Is training justified?
 - a. Perhaps the simplest argument in favor of a training program is that an agency pays for a training program whether it has one or not.
 - b. Ask a few questions of agencies which claim they have no training program.
 - (1). Do they hire all their employees with skills and abilities and aptitudes equal to the jobs to be done?
 - (2). Do they never make mistakes which could have been avoided?
 - (3). Are they fully acquainted with Bureau policies, practices and procedures when they come on the payroll?
 - (4). Do their employees learn nothing while they are working?
 - (5). Do none of them prepare themselves for promotions?
4. What are the benefits of a training program?
 - a. Benefits of a training program to the government are:
 - (1). A constantly improving production.
 - (2). Lower costs of operation.
 - (3). Better morale through fewer grievances and complaints.
 - b. Benefits of a training program to the supervisor are:
 - (1). Better control over production.
 - (2). Fewer backlogs.
 - (3). More time available to assume greater responsibilities.

- (4). More pleasant relations for the employees.
- (5). Job satisfaction instead of job headaches.
- c. Benefits of a training program to the employee are:
 - (1). Less fumbling, uncertainty and errors.
 - (2). Satisfaction of doing a job right.
 - (3). Continuous growth and ability.
 - (4). Closer contact with his supervisor.
 - (5). Preparation for promotion.
- 5. What are the objectives of training?
 - a. Objectives of training are:
 - (1). To acquaint new employees with their jobs.
 - (2). To seek out those employees whose performance is below standard.
 - (3). To increase the skill of the employees already on the job and to train present employees continuously to aid them to adjust speedily to changes in procedures, methods and mission.
 - (4). To prepare employees for advancement.
 - (5). To develop competent supervisors.
- 6. Three major considerations in a training program are:
 - a. The job.
 - b. The selection of employees for training.
 - c. Adequate instruction with follow-ups.
- 7. Points to be considered in the selection of employees for training are:
 - a. Personal appearance
 - b. Personality
 - c. Level of general intelligence.
 - d. Work record of the individual.
 - e. Family relationships.
 - f. Personal savings and finances.
 - g. Level of education
- 8. What is the desired chemical composition of an assistant?

The individual we wish to train should contain: a little sugar, but not too sweet; a lot of salt, thus a thirst for knowledge; a bit of tannin, to toughen the hide; starch, to stiffen the backbone; protein, to glue him to the job; fat, enough to take the squawks out, but lean enough to be keen; fluid, enough to seek new paths; hormones, enough to catalyze his reactions; enzymes, to digest and assimilate the job; gray matter, enough to nourish new ideas; and vitamins, for the sunshine in his smile.
- 9. In-service training is generally accepted as being the best means of training.
 - a. What are its advantages?

- (1). "Learning by doing."
 - (2). The techniques and procedures with which the trainee works are the "real things".
 - (3). Training is accomplished in the same environment as that in which the employee will work.
 - (4). Quickest and most practical and economical.
 - (5). Provides maximum practice under observation.
 - (6). Most directly related to the end to be accomplished.
- b. What are its disadvantages?
- (1). Not suitable for handling large groups.
 - (2). Requires more time per trainee.
10. What are the basic steps of training?
- a. Prepare the trainee (Tell).
 - b. Present the material to be learned (Show).
 - c. Assimilation-application to trainee's job (Practice).
 - d. Tests on understanding and ability to do (Check).
11. What are the foundation points on individual training?
- a. Give understandable and complete instructions.
 - b. Let each worker know how he is getting along.
 - c. Give credit when credit is due.
 - d. Tell people in advance about changes that will affect them.
 - e. Make the best use of each person's ability.
 - f. Encourage workers to come to you with suggestions and for counsel.
12. Off-the-job training. Besides the in-service training, many jobs require a large amount of related information, much of which can be learned advantageously off the job.

Controls, Inspections, Reviews and Reporting

by

J. E. Gates, SCS

and

Geo. Z. Anders, REM

CONTROL

Definition:

Control is the examination of results. To control is to make sure that all operations at all times are carried out in accordance with the plan adopted -- with the orders given and with the principles laid down. Control compares, discusses, and criticizes; it tends to stimulate planning, to simplify and strengthen organization, to increase the efficiency of command and to facilitate coordination.

Basic functions of control:

1. To analyze policies in operation.
2. To observe, weigh and constructively criticize the plan of organization.
3. To study, examine and recommend improved procedures or methods.
4. To analyze data and measure progress.

Summary of control:

Five essential steps in making a satisfactory disposition of a problem:

1. Find out.
2. Determine cause.
3. Formulate corrective action.
4. Prepare recommendations.
5. Follow-up.

INSPECTION

Definition:

Inspection is an authorized examination of conditions and performance against established policies, plans, standards, and specifications.

Some basic purposes of inspection:

1. Uncovers good ideas - helps to spread them.
2. Uncovers good men.
3. Improves morale.

4. Heads off trouble
5. Keeps the heads of the organization informed.
6. Serves as a training device
7. Leads to improvement of standards

Some fundamentals of inspection:

1. There must be a definite objective
2. There must be an established standard if possible
3. A critical examination and recording of facts

Some qualifications of inspectors:

1. Broad concept of program
2. Thorough
3. Analytical
4. Fair
5. Practical
6. Constructive
7. Be human

REPORTING

Definition

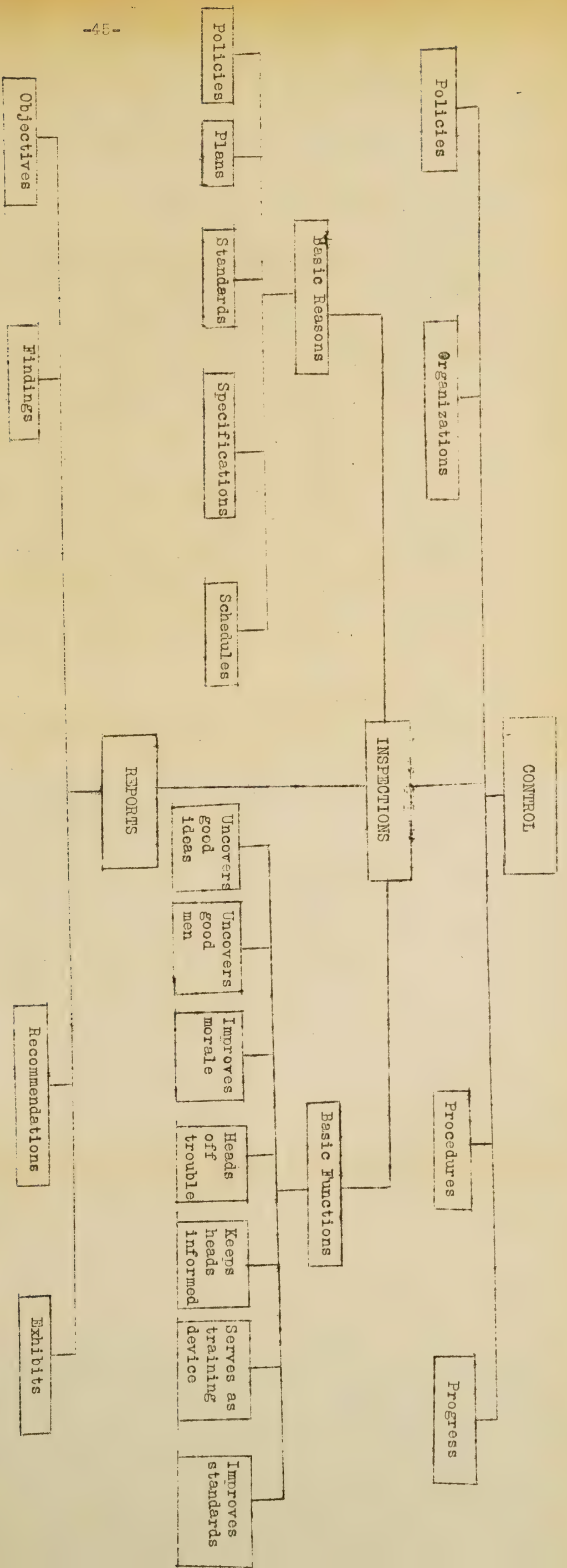
A report is an official recording of facts or conditions and which generally includes conclusions or recommendations.

Four essential parts of a report:

1. Objective
2. Findings
3. Recommendations
4. Exhibits

References:

Army Service Forces Manual H 703-1.
Army Service Forces Manual H 703-2.
Administrative Management - U. S. Forest Service.
A&F Personnel Management, Conference Outlines, Nos. 1, 2, 3, 4, 5.
Coordinating and Controlling Operations, John B. Thurston.
How to Set Up Management Controls, Alex W. Rathe.
Tentative Standards for Appraising Supervisory Performance -
Research Committee of Society for the Advancement of Management.
Inspection Activities in the Soil Conservation Service, F. G. Renner.
Writing Effective U.S.D.A. Reports - Division of Training, Office
of Personnel.
Middle Management, Mary Cushing Niles.



WORK MEASUREMENT AND WORK STANDARDS

By

Henry C. Starns, OP

1. What is work measurement.

<u>Pure</u>	Any process which measures the time, money, effort or materials required to do a job.
<u>In use</u>	A method for establishing an equitable relationship between the volume of work performed and the employee time expended in performing that volume.
<u>Pure</u>	<ul style="list-style-type: none">a. I wrote two books last year.b. The two books I wrote cost me \$5,000.c. It took all the strength I had to carry the anvil.d. I typed each page of manuscript in 15 minutes using excellent grammar throughout, leaving 1" margins on all sides, no typographic errors, 2 carbons, elite type.e. After typing the manuscript, I assembled the pages by sorting and laying the copies on 3 piles as follows: First pile: all originals, Second pile: all first carbons; Third pile: all second carbons. This was done at the rate of 3 seconds per page.
<u>In use</u>	<ul style="list-style-type: none">a. I typed manuscripts twice as fast as Bill.b. At the rate I am going, I can finish 2 books next year.c. I have to quit writing books--they take up too much time that I should spend with my family.d. Since I cleaned my typewriter, I type a page faster and clearer than before.

Work Standard

<u>Pure</u>	Is the description of the quantity and quality of work to be done in a given time; at a given expense; or with a given amount of effort. (quality)
	(1). Type one page, single space, from hand-written copy, no carbons, 1" margin all round -- <u>no erasures</u> , <u>no strikeouts</u> -- 15 minutes (quality)
	The tendency is to use the time element only in work measurement. Time can be converted into money rather easily.

2. Why have work measurement and work standards?

Negatively: To take guess work and memory out of management. The know how and the timing had been left in hands of the workers before Taylor and scientific management.

Positively: To give to management the key information necessary for planning, scheduling and control.

You can't manage intelligently without knowing what a fair days work is. Work standards give you the answer.

3. What an administrator needs to consider in starting or revising systems.
 - a. He must consider that the responsibility is on him. He is the guy who will have to make it work. He is the one who will have to enforce it.
 - b. Are we doing all right without it?
 - c. How much of it? How detailed and exacting must it be? This is the \$64 question. The answer will depend on:
 - (1). Nature of operations - how easily do they lend themselves to detailed analysis.
 - (2). What is needed by administrator for planning and control.
 - (3). Pressures from outside. Congress -- on one hand they encourage it -- on the other they don't. Budget process -- encourage it.
 - (4). Pressure from inside. Supervisors, employees.
 - (5). Cost of system itself.
 - d. What aspects of your program do you want to cover?
 - (1). Where most personnel are?
 - (2). Cover things servicing the public?
 - (3). Cover simple operations?
 - (4). Cover things where you suspect improvement is needed?
4. Methods of work measurement -- steps to take.

These steps are consciously or unconsciously taken in work measurement. ***YOU HAD BETTER TAKE SUPERVISORS AND EMPLOYEES IN ON EVERY STEP***

- a. Select the areas of your operations where work measurement is desirable or necessary.
- b. Select work units to be measured. These units would be:
 - (1). Something completed -- voucher audited; page typed; application examined; docket prepared; contract reviewed, etc.
 - (2). Something you can count. 10 pages typed.
 - (3). Expressed in familiar terminology.
 - (4). Broadest homogeneous unit which will serve the purpose. This is the tough one. It goes back to what your administrator wanted to begin with.

1012 or 1034 vouchers audited.

Generally, the farther you get from the job, the less detail you want.

- c. Definite work units. Tell exactly what it is. (standard way)
- d. Devise a system for individuals or groups to report the number of units produced Per hour, Per week, Per day, or some other unit.
- e. See that everyone is instructed in detail as to what is wanted.

5. Setting Work Standards.

Work standards involve a great deal more consideration than work measurement. Standards become the methods of measuring an employee's performance in terms of some desired goal.

You have to be careful and know what you are talking about before you say "the standard is 4.3 pages typewritten, single space, without error, per hour." Why is it not 4.2?

You have to take a few extra steps in work measurement when work standards are to be the outcome. I'll underline those extra steps.

- (1). Select the area of operations. (Same)
- (2). Select work unit. (Same)
- (3). Simplify and standardize the method.
- (4). Define the work unit. (same)
- (5). Indicate the quality of performance expected -- the specifications.
- (6). Explain description of work unit. (Same)
- (7). Establish uniform reporting methods. (Same) Or time study.
(Guess close to work) (more perfect)
- (8). Take into consideration various factors affecting work which might affect performance.
This might be the cause of breaking down your work units.
- (9). Accumulate data -- Same say 60 days . . . If time study try several of the best workers
- (10). Set the standard -- Best - Upper quartile -- average.

6. Uses of standards in management.

- a. Tells everyone what a days work is.
 - (1). Employee
 - (2). Supervisor
 - (3). Administrator
- b. Supervisor and employee use in day to day relations.
- c. Fair assignments.
- d. Compare employees and units.
- e. Budgets - relate estimates to projected program.
- f. Locate activities in need of management improvement.
- g. Maximum utilization of manpower.
- h. Test effectiveness of new procedures and techniques.
- i. Prod slow employees and keep employees on their toes.
Polite literature doesn't say so, but it does.

7. Uses of work measurement without standards.
 - a. Shows where the time is being spent. Eliminates general impressions.
 - b. Can check distribution of time with plan. Help enforce plan.
 - c. Can compare units and take time saving ideas from one unit to another.
 - d. Can test procedures.
 - e. Can use past experience to plan future programs.
8. Cautions.
 - a. Be sure to take employees in on it.
 - b. Don't start it unless you are sold.
 - c. Watch that people not in the know don't start making wrong comparisons.
 - d. Total changes in volume not always tells the whole story-- certain overhead necessary even for a very small load.
 - e. Don't let the system go out without a definition of quality of work expected.

Personal Characteristics and Equations in Administration

by

C. E. Wylie, FMA

and

M. M. Taylor, FMA

"Sound management makes no assumption that human beings will behave in a way other than human ----- Sound management, far from expecting people to change their basic tendencies, depends absolutely on their remaining human, and harnessing these human tendencies toward the goal of the organization."

"Bureaucracy," by J. M. Juran

Organization is a group of individuals working together toward a common objective. Organizations are made up solely of People. There are two fundamental kinds of people in every organization: TOP people, or supervisors; and Bottom people, or employees. Some people are both top and bottom people.

People are human, which means that they usually are not what you think they are, if you have taken the trouble to think about it. The principles of organization and classification require that, so far as possible, we label people and fix them in place so as to produce the illusion of "known factors in administration". This provides "suits" or "uniforms" for the team.

Humans are highly personal, which distinguishes them from each other in unmistakable ways. Regardless of uniforms and labels, human personalities run rampant in and out of churches, schools, bars, art galleries, seances, and organizations. If it weren't for the complications of human personalities, you could dispense with three-fourths of the personnel specialists, half the supervisors, and all of the psychiatrists.

People are with us to stay, which means their personalities and their peculiarities are, too. This makes the executive's job principally one of dealing with people, of judging, adjusting to, and working around personalities. This is at the core of getting people to apply their energies in harmony with each other and getting things done.

Personal characteristics of top people: Top people, meaning executives and supervisors, have their peculiarities, simply as individuals. Many of their personality traits have a direct bearing on the job, or otherwise influence their effectiveness as executives and supervisors. Properly adjusted, these traits harmonize with each other and with the

group traits. Donald C. Stone says: "The difference in individuals who find themselves in executive positions, and the variations in the life cycles of organizations, produce practically limitless permutations and combinations." Some of these personality traits relate to:

1. Keeping informed about his job and his subordinates' jobs.
2. Keeping his subordinates informed.
3. Knowing how to get work done.
4. Knowing how to get people to work.
5. Developing and using his subordinates effectively.
6. His ability to lead and influence.
7. Operating at the proper level.
8. Loyalty both to his employees and to his superiors.
9. Fairness and impartiality in work assignments and treatment of his subordinates.
10. Understanding and humaneness in dealing with all employee problems.
11. Decisiveness in meeting problems and making plans.
12. Respect for his work and the work of his employees.
13. Consistency of policy and judgment.
14. Sound and thoughtful judgments.
15. Delegate authority as well as responsibility.
16. Following established channels.

Personal characteristics of employees: Every employee group has a "group" character, which is the product of its individual characters - and its supervisor's character. Employees are influenced by the character and conduct of associates - as well as of their supervisors. Some of these traits relate to:

1. Ability to get along with others.
2. Ability to receive supervision.
3. Willingness to accept assignments.
4. Promptness in execution of assignments.
5. Putting in an honest work-day.
6. Self-improvement and education.
7. Loyalty to program, agency, and co-workers.
8. Honesty and fairness in relations with others.
9. Cheerfulness under trying conditions.
10. Interest in others and their welfare.
11. Sympathy and understanding of others.
12. Following channels.
13. Desire to serve.
14. Desire to get ahead.

Employees reflect traits of their supervisor. "The kind of person the executive happens to be also has a good deal of bearing on the amount of influence he has. He is a symbol to his organization. His attitudes and actions, both public and private, will have an effect on the attitudes of all within his organization. If his characteristics and actions excite admiration, his staff will unconsciously be motivated to respond

to his leadership and ideas". This stems from the executive's responsibility for:

1. Selecting and developing assistants and subordinates.
2. Coordination of their work.
3. Solution of problems.
4. Advising and guiding.
5. Leadership in work planning and execution.

Personal characteristics and advancement. Some workers have speed, competence, industry, intelligence, and many other good qualities, but succeed only indifferently. Others, whom we sometimes envy and deragate, appear to lack these good qualities, but nevertheless advance rapidly.

It does not seem that certain indefinable characteristics, relating to aggressiveness, self confidence, arrogance, self-salesmanship, sometimes enable apparently ill-qualified persons to succeed out of all proportion to their true abilities.

Some fail because they spread themselves too thin; or because of laziness. Many do not have the knack of self-promotion.

That the necessary special characteristics can be acquired and developed is theoretically true. That they will be acquired is probably unlikely, and the losers may as well face their limitations honestly and extract joy from their work.

Graphic Presentation of Ideas

by

James L. Bucklor, FCIC

Introduction

1. Communications defined as transmission of thought by visual or hearing process.
2. Visual process can consume large amounts of time - reading for example.
3. Verbal process runs the risk of loss of idea because recipient cannot "picture" presentation.
4. Combine benefits of both with visual aids.

What is Graphic Presentation of Ideas?

Vivid
Forceful
Clear
Illustrations of ideas

What Should Graphic Presentation Accomplish?

1. Hold attention.
2. Create interest.
3. Increase understanding.
4. Increase retention.
5. Promote action.

In What Ways May Ideas Be Graphically Presented?

- | | |
|----------------------------------|-------------------|
| 1. Flip Charts | 7. Exhibits |
| 2. Photographs | 8. Movies |
| 3. Objects | 9. Slides |
| 4. Demonstrations | 10. Film strips |
| 5. Maps | 11. Dramatization |
| 6. Statistical graphy and charts | 12. Flash cards |

How Should an Idea Be Developed?

1. Put down all thoughts on subject
2. Organize thoughts to develop best
3. Rough out presentation that seems to fit situation
(for individual, small group, large group, etc.)
4. Discuss it with or try it on others
5. Reappraise methods of presentation
6. Prepare in final form

Can Effectiveness of Visual Aids Be Tested?

Yes. 1. By measuring the results against previous results on the same subject.

2. Applying the questions of what graphic presentation should accomplish to the results obtained.

How to Sell Your Ideas!

by

Mark M. Kirkham, BAE

and

Henry C. Starns, OP

The trouble with trying to sell ideas is that people don't always buy them. Have you ever wondered why? Have you ever thought that if you had presented your idea in a different way that it might have been accepted?

Before you walk into the Boss's office and say, "Now lookie here, this is a peacherine --" you might want to prepare yourself. It will greatly increase your chances for success. The boss will listen because he'll sense that you're not going off half-cocked.

Here are some things you must know.

Know your idea. Know that it's a good one. You can't sell it if you don't know what you're talking about. Know every phase, every facet, every application, every benefit. Know particularly how it will benefit your customer. Be careful though, don't let this examination kill the idea.

Know your customer. Know something about the fellow you are going to sell. We will call him the customer. Find out all you can in advance. Find out his name, spell it, sound it. Make up your mind that you like him. Determine the best time to sell. Make certain you don't by-pass someone in the organization. Find out what you can about the organization.

Know yourself. You, of course, are the important cog in the machine. Without you nothing can be accomplished. Let's do something about it. To begin with free the contagious germ of enthusiasm. Desire to be successful. Back your desire with the belief that your idea is good and that you can sell it. Reflect sincere confidence. Examine yourself carefully. How can you answer the following questions? Do you have the following qualities?

Desire - Do you really want to put it over?

Enthusiasm - Are you all steamed up? Emerson says, "Nothing great has been accomplished without enthusiasm."

Confidence - Do you believe you can put it over? Do you have confidence in yourself and in your idea?

Courtesy - Are you friendly and tactful? Do you like people?

Appreciation - Can you appreciate the other fellows point of view?

Sincerity - Are you honest and forthright in what you say and do?

Initiative - Do you do the right thing without being told?

Reliability - Are you there - on time? Do you keep your word?

Endurance - Do you watch your health - eat right - sleep right?

Think straight - Do you believe "as a man thinketh so is he"?

Appearance - Do you believe in soap and water? The "fresh look"?

Ability - Have you developed any special abilities to help you put your ideas across? Have you had any special training? How are your speech habits? When anything seems difficult it proves that you are going at it in the wrong way.

Cooperation - Do you cooperate with yourself? Do you give yourself a square deal?

Loyalty - Are you loyal to yourself? One way that you may be cheating yourself is by not smiling. Remember that what you radiate is as important as what you say.
Many men rust out, few wear out.

Personality - Do you know how to cash in on your personality? Determine what you should be and then see to it that you are. Use more of your abilities more often. Seek after ways of self-improvement.

Do you put yourself into the idea? The mind can only hold one dominant thought at a time. Let the idea rule when you try to sell it.

Finally, throughout your problem, believe that you can. Make your belief become a fact. Stay away from pressure and anxiety as much as you can. "Don't take yourself too seriously."

Know your plan. Of course, before you can know your plan you must have one. A plan is simply a road map telling you where you're going and how to get there. More specifically it is an outline of the way to put your idea across. It is a schedule of steps necessary to sell the idea. The plan might be broken down as follows:

1. Approach. This is simply getting the undivided attention of the "customer".
2. Presentation. This is telling the customer how the idea will help him.
3. Demonstration. This is showing the value of the idea.
4. Close. This is getting the customer's approval.

A formal written plan is not going to be possible or necessary in every instance. However, the mental gymnastic of running through the elements of the plan and "lining up your ducks" will pay off. This will help you think the problem through, be fully prepared, and be able to answer questions. After you have your plan, either scratched on a card or noted mentally, stick to it. Let the plan take over. Let it drive you harder than you would let any man drive you.

The way to go about it. Now that we have briefly run over the main points of idea selling let's get down to business. Since selling your idea is going to depend in part on what you say let's look at that first.

In speaking use simple language. You will increase your response. Your customer will be able to keep up with what you're saying. You will both be able to relax. Stay away from a drab, sing-song voice. Speak up and out. Talk to the customer's consciousness. Put a little drama in what you say. Color your words by tone and inflection. Use words that will paint a picture the customer will want to buy. Awaken the customer's emotions. Bring his imagination into play. Help him see the benefits your idea will bring.

Don't forget that in all your saying your words must have impact, sincerity and conviction. In so speaking you will inspire confidence and enthusiasm.

Finally, don't argue. That's like handing your idea a vial of arsenic. If you're wrong have the courage to admit it. You will increase your chance of success.

The way that you go about idea selling is important. That is, the way you conduct yourself, your manner. Show a genuine interest in people. You have to be interested in people if you want to be successful in anything. Be informal - not stuffy. Be alive to the situation. You will find that many ways of achieving your end may present themselves. Be resourceful. If you can swing it try and do the usual thing in an unusual way.

Be a good listener. You will learn more about your customer. Don't let the customer turn you away from your goal. Carefully and inoffensively turn your selling back to the idea. Never embarrass or criticize your customer. Appreciate his point of view. He will be more likely to appreciate yours.

The approach. The first step in the selling plan is the approach. The preliminaries have been done away with. You have studied the idea. You know something about your customer. You have written and sounded out his name several times. You're ready. The secretary nods you in.

Your first objective is to get his complete and favorable attention. You have to blot out everything that he has been thinking about. You have to divert his entire attention to you and what you have to say. A compliment may turn the trick. It should be timely and sincere. One of the best ways to get his attention is to offer to solve one of his problems. Remember he is mostly interested in things that favorably influence him.

The presentation. The second step in the selling plan is the presentation. You have interested the customer through your approach. You now have his complete attention.

The presentation is simply relating the idea to the customer in such a way as will arouse an eager want. You've got to convince or persuade him that your idea will profit him even though he didn't

expect to buy it when you first came in. To be a little more explicit you've got to sell what the idea is going to do. You've got to show that if the idea is put into effect it will bring favorable results to him. Keep his interests in mind.

He will expect to pay for the idea. He knows that you don't get something for nothing. To prepare yourself for this step do a little thinking before you go in. Ask yourself a few questions. Just how is the idea going to benefit the customer? Will it save him money, make him more comfortable, make him more secure, increase his enjoyment, make him well thought of, make him appear intelligent, or place him in a group of "preferable people",

In your speaking let him experience the feeling of idea ownership. Let him mentally experience the results of the idea. Create a desire for this ownership. Develop an appreciation of the value of the idea.

Nodding your head up and down as you speak is a positive gesture. It makes the customer want to nod his head also. This is a sound psychological device to aid in developing acceptance.

Of course, in your zeal to impress the customer with the values of the idea you are going to be quite enthusiastic. Enthusiasm, as we already knew is necessary for success. A word of caution however, don't oversell. Make sure each of your statements will stand the test.

Make your reasoning logical and acceptable. A tidal wave of words will only engulf your own chances for success. Leave high pressure to the Weather Bureau.

It may not be possible or even advisable to try and sell the whole idea in one fell swoop. It may be a much better idea to just get your feet in the door. If you can show the value of a preliminary acceptance the remaining steps may later be accepted with little argument. In other words be prepared to break your ideas into pieces. Sell what you can.

You may want to have several alternative ideas in your pocket. Suggest one of these if the customer doesn't take the hook on the first one. A half a loaf may be better than none. You may still be able to sell the original idea later.

Watch your timing. If the customer has just received some distressing news -- bow out. You won't be very successful in getting his attention. If he's in rare good humor -- pitch in and drive your points home.

Finally, don't give up when he says "no". "No" is just a way of saying several encouraging things such as: "I'm not quite ready." "I don't understand it." or "I'm very busy why don't you come back."

The demonstration. The third step in the selling plan is the demonstration. We now have captured the attention of our customer. We have explained the value of the idea to him. Now we're ready to show him what we mean.

In selling; tractors, toothpicks or ideas; you sell by sight (85%), hearing (10%) and taste, touch, and smell (5%). Ideas are related to things we can see. Relate your idea back to a visible exhibit or demonstration.

Suppose you were given the job of ironing out the noon peak load in the cafeteria. After a survey of the situation you devise a plan for action. Now you must sell the plan to the boss. You might demonstrate your idea by a chart showing the cafeteria traffic during the luncheon period. He can see a chart. The line taking a sharp upward turn at 12 o'clock will show the problem. You may have another chart showing the cafeteria load after your idea is put into effect. To be sure, this is a hoped-for situation but it will quickly show what you hope to achieve. You may wish to solve your problem by putting out a series of clever posters. They would invite the employees to eat early or late. Telling about such posters may turn the trick. But having sample posters ready to show will increase your chances eight-fold. Incidentally the posters should be designed to show the employees the benefits of eating early or late. In so doing you are also selling them by sight. You are demonstrating your idea.

Make your idea easy to accept. Offer to test it. The test may be your demonstration.

Remember that which you see belongs to you; that is yours. The shortest distance between two minds is a picture.

The close. From the first moment of selling your idea you want the customer to say "Yes". Polite society usually gives a man a chance to be heard. The close, however, doesn't always come at the end. It might start near the beginning. Early in your talk you might say "You are really going to like this." This is part of the close. You are preparing the customer to say "Yes". Here are some other ways to get the "Yes".

You might offer alternative ways of accepting. "Shall we start right away or do you think Monday will be soon enough."

You might sum up what you have said and ask for a decision. "Putting in a new rating system will save time, give us a better idea of employee performance, and reduce employee objections. It will certainly save you time by reducing the number of employee grievances."

You might simply go ahead and suggest a decision. "Will 300 copies of the new policy be sufficient."

You might assume a decision. "Your adopting the new office hour schedule will certainly put a feather in your cap."

You might ask questions leading up to a natural decision of yes. "Do you feel that we need more sociability in the plant?" "Yes". "Do you like high class dancing parties?" "Yes." "Do you think that the increased morale would reflect favorably on your wise decision." "Yes." "Well that's why we ought to have a monthly dance. We ought to get together, break down the coldness and strangeness we now have, and have a good time. This will increase the morale and output and reduce the turnover. I'm sure that you will be complimented for your decision."

Sales are made in the head. The customer's thinker is your worthy opponent. As soon as you reach a favorable meeting of the minds your sale should go across.

Finally, there is no stigma attached to asking the customer for a favorable decision. If every other way of breaking him down fails; if he doesn't open his mouth during the entire talk then you have to take direct action. You have to ask for his reaction. This doesn't mean that hope is lost. It may mean that he is chomping over what you have said. Deliberate people also say yes.

Something to remember. There is a price for success in any human endeavor. Reading a paper or listening to a talk on "How to Sell Ideas" will not assure a favorable response. There is, however, one action that will go a long way to help. This is plain, simple, old-fashioned work. Work means that you are willing to pay the price. It means that you sometimes have to stick your neck out to see the opportunities ahead.

There you have it. Selling your ideas will bring you all the good things you desire. Do you wish to start this afternoon or tomorrow?

Communications

by

M. M. Taylor, FMA

References

1. Talks. A Guide To More Effective Speaking
U.S.D.A., Office of Personnel, Washington, D. C.
Administrative Series No. 8, June 1950.
2. Preventing Writing Accidents
U.S.D.A., Office of Personnel, Washington, D. C., 1948
3. Meetings. Guide and Source Book
U.S. Government Printing Office, TS-11, March, 1946.
4. What Research Shows About Visual Aids
U.S.D.A., Extension Service, 612 (6-49)
5. Telephone Manners
U.S.D.A., Office of Personnel, Washington, D. C., 1941

Presentation of this material lead into a discussion of Reading Improvement -- how we can increase our rate of reading at the same time maintain or increase comprehension of material read.

Chain of Command
Line and Staff Relationships

by

William F. Loeffler, BE&PQ

I. Introduction

- A. The subject of Chain of Command and Line and Staff Relationships is difficult to discuss as a separate subject because of the interdependence of all phases of organization.
 - 1. This topic overlaps other subjects discussed at this meeting including:
 - a. Principles of Organization and Delegation of Authority
 - b. Policy Making
 - c. Selling ideas, and others.
 - 2. As in any phase of administration the basic principles of Line and Staff Relationships are based on what I like to call "common everyday horse sense".
 - 3. In preparing this discussion the following reference material was used:
 - a. Army Service Forces Manual M. 703-2, "Control Manual".
 - b. "Principles of Staff Cooperation and Supervision in the Soil Conservation Service" by Wm. R. Van Dorsal.
 - c. Case Reports in Public Administration.

II. Definitions (Basis for Common Understanding)

- A. Staff office or officer
 - 1. According to Webster's dictionary a staff office is:
 - a. A body of assistants to a superintendent or manager.
 - b. (Military) An establishment of officers not having command, but having administrative and executive duties.
 - 2. Staff officers usually have responsibility for a specialized function needed as an adjunct to accomplishing the objectives. The usual staff functions which most of us recognize are:
 - a. Personnel management
 - b. Budget
 - c. Fiscal, including auditing, payrolling, accounting, etc.
- B. Line officer
 - 1. Webster's dictionary, while weak in defining this term as used in this discussion, does have a definition for the military which may be used. It reads as follows:
 - a. In the United States Navy the officers who have to do with the fighting of a war vessel and with its motive power.

2. Line officers are those directly responsible for a given segment or portion of an organization which is engaged in directly carrying out the objectives of the organization.

C. Authority

1. Political authority is an absolute authority based on or stemming from the desires of the political head of a nation or country, i.e., the king, dictator, or people (as in the case of a republic or democracy).
2. On the other hand, administrative authority is based on the position held by an individual and ceases to function for the individual when he leaves the position, i.e., Secretary of Agriculture, President of the United States, general manager of a firm, etc.

D. Responsibility

1. Responsibility is the accountability to others with a higher authority and is based to some extent on the expectation of accomplishment.

III. Chain of Command

- A. The chain of command is the line or flow of authority and responsibility within an organization structure. It can be considered the nervous system through which the various activities are directed.
 1. The administration or direction of any program or organization must follow the normal chain of command to and from the administrator and his subordinate supervisors.
 2. As an organization increases in size this authority and responsibility must be delegated to subordinates and in such a manner as to be clearly understood and within well-defined limits.
- b. The organizational structure, particularly the informal organization, is influenced by the way in which the chain of command is recognized.
 1. When an organization is sound and all supervisory employees recognize and adhere to the proper channels its operations tend to be smoother and the relationships between units are much more effective.
 2. However, if supervisors do not follow the proper channels, organizational confusion is very likely to happen with the result that morale is lowered and orders and directions are improperly carried out.

IV. Staff and Line Relationships

- A. Staff officers serve as aides or advisers to the administrator in the over-all direction of the work of the agency. In carrying out these responsibilities staff officers should adhere to the following principles:

1. Staff personnel are assistants to an administrator and all authority they exercise should be exercised in his name.
 2. Staff members in an organization should be well informed on its programs, policies, structure, objectives, trends, and operating methods.
 3. The authority of ideas is almost always as effective as the authority of command, provided both are consistent with the same policy and aimed at the same objective.
 4. Objectivity on the part of a staff adviser fosters confidence in his recommendations.
 5. Facts and ideas marshalled in advance of need are usually more useful than if they are assembled only on demand.
 6. Staff members must keep up to date professionally.
- B. Administrators and line officers should remember that staff officers are in the organization for a very definite purpose and should be used accordingly. A free and easy exchange of information will bring about a better utilization of the special knowledge which staff people have available.
- C. Problems constantly confront staff personnel in the day to day discharge of their responsibilities. Some of these are the result of the staff member himself and others result from a not too clear understanding of the line and staff relationship on the part of line officers. Listed below are some of the more common problems:
1. The often repeated or inferred opinion of line officials that staff functions are a necessary evil which should be circumvented if at all possible.
 2. The occupational disease of self importance on the part of staff personnel. This can take the form of insisting that the staff function is the most important or by trying to operate the line functions through directives that have not been cleared at a higher level.
 3. Bypassing the staff personnel on the part of administrators during the planning stages and expecting the staff people to carry out its function efficiently.

The Administrator's Responsibility For Public Service

by

T. D. Fontaine, BAIC
and
W. F. Loffler, BEPQ

1. Who is an administrator?

An administrator is a person whose energies are devoted, broadly speaking to:

- a. Defining the objectives of their agencies.
- b. Planning the program.
- c. Developing an organization properly staffed to carry out the program.
- d. Scheduling and budgeting the program.
- e. Developing the necessary interrelationships, channels of communications, work habits, and doctrine for the organization to move forward as an harmonious team.
- f. Establishing devices for control and coordination.
- g. Exercising oversight and guiding the operations of the establishment.
- h. Maintaining and reacting to many external relationships.

Top-level administrators are generalists. The best ones in government service closely approach the politician in ability to weigh forces, sentiments and demands. They somehow especially "understand the country", or large parts of it; such understanding, indeed, is the crucial essential to superior public administration. They better than anyone else, understand the politicians. They understand experts, too.

Just below the level of such political public administrators are to be found strictly civil service administrators of simple and only slightly less political quality. The bureau chiefs are oriented principally toward segments of the public interested in or affected by the bureau programs, while the staff officers are oriented principally toward the reconciliation and integration of the bureaus with each other and with other organs of government.

2. What is responsibility?

Responsibility is accountability. The responsibility of an individual civil servant is to the hierarchy of his superiors -- to the legislature, to the courts, to citizens.

3. A public service code.

- a. Efficiency, courtesy and impartiality of service to all citizens.
- b. Provision of technical information in adequate and understandable forms.

- c. Recognition of all valid public needs in development of plans and programs.
 - d. Fully effective and economical use of personnel, equipment and supplies.
 - f. Prompt adoption and wide application of all practicable economies of administration.
4. The concept of "public service" as a responsibility of government administrators permeates the entire thinking in the field of public administration. It is impossible to talk on any subject in this field without sooner or later making reference to this concept.
- a. Planning - Most, if not all plans, are predicated on the basis that the end product or objective to be met must be of service to the public.
 - b. Organization - Organizations are so designed as to make it possible to carry out the objectives of the Bureau or agency in the best manner.
 - c. Control - Controls and inspections are necessary to insure that the public gets the service planned for.
 - d. Budget - Budgets and budgetary controls are designed to insure competent and economical expenditure of public funds.
 - e. Communication - One important phase of communications is to insure that the administrator is informed of the public's desires.
- Many more such examples can be cited.
5. Who is the "public"?
- a. Webster's dictionary: "of or pertaining to the people, relating to, belonging to, or affecting a nation, state or community at large.
 - b. What part of this public does the U.S.D.A. Administrator need to consider in his operation, and does it naturally fall into distinct groups?
 - (1). Political public
 - (a). Congress
 - (b). State and local officials (including other government agencies)
 - (c). Representatives of foreign nations
 - (2). Organized public (so-called pressure groups)
 - (a). Farm groups (Farm Bureau groups)
 - (b). Trade associations (Dairymen's associations, manufacturers)
 - (c). Labor unions
 - (3). Unorganized public (John Q. Public)
 - (a). Farmers
 - (b). Individual citizens
6. Do these relationships affect the action of a government administrator?
- a. How ---
 - (1). Yielding to the greatest pressure to which he is subjected.
 - (2). Inability to secure all the facts because of the time required by pressure groups (The squeaking that gets the oil first)

- (3). Frustration, being over-valued on decisions or actions.
- b. Why

7. Can these sometimes directly opposing interests be reconciled?
- a. How can the administrator operate under such conditions?
- (1). By riding with the tide, particularly with the strongest pressure group or political party in office.
 - (2). By running the organization according to the book, ignoring any and all groups outside the immediate organization.
 - (3). The successful administrator must have intellectual courage and operate somewhere between these extremes, giving and taking as the exigency of the situation demands.

8. Summary.

In the last analysis, the several criteria and objectives of public administration can be resolved more or less into a unity. Efficiency, planning, principle, philosophy - all of these are involved in the provision of service for the community's wants. Government servants should never lose sight of the fact that the public is their master and that the fulfillment of communal wants is the ultimate test of all their activities. But administration is more than a lifeless pawn. It plans, it contrives, it philosophizes, it educates, it builds for the community as a whole.

What Makes Successful and Unsuccessful Executives?

by

B. B. Gardner

Executive Director, Social Research, Inc., Chicago
Advanced Management 13, No. 3, 116-125, Sept. 1948

In choosing younger men for promotion into the executive ranks, how can the potentially successful executive be recognized in advance?

Despite the difference among men, the common personality structure of the successful executive has the following eleven "traits", all of which can be spotted in advance. The unsuccessful executives have twelve "traits", any combination of which is usually sufficient to undermine a business career.

Successful Executive "Traits"

1. Achievement desires.
 - a. Pleasure of accomplishment.
 - b. Motivated more by sheer accomplishment of the work itself.
 - c. Tasks well done.
2. The idea of authority.
 - a. Idea of authority is that it does not hamper, inhibit or constrain him; he accepts it without resentment.
 - b. Looks to his superiors as persons of greater training and experience.
 - c. Accepts without prejudice guiding directions.
3. Strong mobility drives.
 - a. Strong drives toward achievement, material rewards and prestige in that order.
4. Organizational ability.
 - a. Ability to bring order out of chaos.
 - b. Organize efficiently.
 - c. Predicting the outcome of their decisions and actions.
5. Decisiveness.
 - a. Rapid fire decisions not usually necessary.
 - b. More crucial - ability to come to a decision among several alternative courses of action.
 - c. Nothing too difficult to tackle and try to solve.
6. Firmness of conviction.
 - a. Differentiate between people by the relative strength or weakness of their notions of selfidentity.
 - b. Some persons lack definiteness and are easily influenced by outside persons.

- c. Others (successful) are firm and well defined in their sense of self-identification.
 - d. Know what they want and have techniques for getting what they want.
7. Activity and aggression.
- a. Essentially an active, striving and aggressive person, although not necessarily so outside of business.
 - b. Activity and aggressiveness always well channelized into work or struggles for status and prestige.
8. The need to overcome a sense of frustration.
- a. A pervasive fear of failure.
9. Realism.
- a. Strongly aware of immediate realities and their implications.
 - b. Keep their feet on the ground.
10. Relations with others.
- a. Looks to his superiors with a feeling of personal attachment and tends to identify himself with them.
 - b. Responsive to his superiors.
 - c. Looks at his subordinates in an essentially impersonal way, seeing them as "doors of work" rather than as people.
 - d. Sympathetic with their problems, yet treats them impersonally.
 - e. Only direction of his emotional energy that is real to him is upward and toward the symbols of that upward interest, his superiors.
11. Attitude toward parents.
- a. The successful executive is "a man who has left home".
 - b. He feels and acts as though he were on his own.
 - c. Men with a strong emotional tie to their mother have systematically had difficulty in the business situation.
 - d. The tie to the father, however, must remain positive.
 - e. A happy relationship with the father makes it easier for the executive to work within the framework of a large organization with its already established and operative set of over-all goals and procedures.
 - f. These executives whose self-assertion is stronger and who unconsciously yearn for complete independence - that is, are still fighting the father - will find it impossible to work within a framework of a company policy established by superiors. Their feelings of loyalty are to themselves rather than to company policy which is the impersonal counterpart of the father-image.

Unsuccessful Executive "Traits"

1. The inability to see the forest.

- a. Inability to grasp broad problems and weigh alternate courses of action.
- b. Too detail-minded.
2. Failure to carry responsibilities.
3. Unconscious desire to do something else.
 - a. Dissatisfaction in working at a particular job.
 - b. It is a common technique to exhort such people "to settle down", recognize their responsibilities and grasp their opportunities. But such moralizing almost invariably fail because the lack of interest cannot be voluntarily controlled.
4. Unconscious desire to be someone else.
 - a. These men will seek and accept responsibility far beyond their experience and judgment, unaware of their own deficiencies but unconsciously determined upon getting to be something which they are not.
5. A yen for express trains.
 - a. A man may be ambitious for broad executive power and success but so intolerant and bored with the intermediate tasks that he never earns success.
 - b. Cannot produce responsibility at the levels of routine tasks.
6. Inability to make room for other people.
 - a. Inability "to get along with people".
 - b. Inability to accept criticism and to take umbrage at dissenting points of view.
 - c. Resentment and indifference to the needs of other men.
7. Resistance to authority.
 - a. They cannot accept the direction and supervision of another person which makes them feel that they are being pushed around and watched like a child.
 - b. The man has possibly never outlived his anger at the way his father throw his weight around at home.
 - c. Range of resistance varies from the chronic late-comer through the man who somehow forgets important meetings and messages for his boss to the real problem who demands special privileges or ignores directions.
8. Arrogance with subordinates.
9. Prejudices which interfere with judgment.
 - a. Fixed ideas. These personal fixed ideas may result in a feeling of general suspicion: his boss is favoring someone else, or his associates are out "to get him", or his subordinates are trying to undermine him.

10. Overemphasis on work.
 - a. Has no outside interests and relaxations to sustain his energy and balance his activities.
 - b. May regard their families and personal lives as expendable.
 - c. Leads to frustration often times.
11. Gravitation toward self-destruction.
 - a. Some men fear success.
 - b. Many men who fail when given the "big chance" are best described as self-punishing.
 - c. Sons of successful fathers who are still on the scene often feel this subconscious urge for failure.
12. Mental ailments.
 - a. The most common ailment among unsuccessful executives is a deep and abiding depression, common because many of these men believe that they are not as productive or admirable or worthwhile as they should be.
 - b. Sensitivity to their real or imaginary shortcomings approach a paranoiac conviction that they cannot possibly succeed.

Psychological Testing

How are all these traits dug out by psychologists? How can they be detected in younger men being considered or groomed for promotion? How are they uncovered in the older men?

The outstanding technique used is the Thematic Apperception Test referred to as the "TAT". It was originated at Harvard and then re-designed by the Committee on Human Development at the University of Chicago.

(Abstracted and outlined by T. D. Fontaine, BAIC. I understand that not everyone agrees with Dr. Gardner but at least he has set down some elements which deserve consideration.)

